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THE CONSULTING RELATIONSHIP: A MODEL AND ITS TRAINING USES

by



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A THESIS


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The undersigned certify that they have read, and recommend to the Faculty of Graduate Studies and Research, for acceptance, a thesis entitled "The Consulting Relationship: A Model and its Training Uses" submitted by Kenneth John Rowell in partial fulfilment of the requirements for the degree of Master of Arts in Community Development.

ABSTRACT

Consultation involves a helping relationship between a consultant and client. The client may be an individual, group or some larger social unit. Consultation has been used to deal with problems in the fields of organization development, community development, social work, medicine, psychiatry, nursing and education.

This thesis describes a model of consultation which can be utilized by consultants regardless of their particular field. The model was developed to bring greater conceptual clarity to the field of consultation. The model describes five basic consultative processes; contracting, data collecting, problem solving, educating and developing rapport. To give the model a practical orientation, specific examples are given of how each process may be operationalized by the consultant.

The thesis also describes the design, implementation and preliminary results of a three day consultation skills workshop in which the model of consultation was used for training purposes.

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This thesis is dedicated to my parents who have consistently encouraged me in all of my endeavors.

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CHAPTER I

INTRODUCTION

Consultation is one of several approaches used to help with a wide spectrum of individual, group, organizational and community problems. Consultation may involve a wide range of client systems, from the individual to a total community and has been practiced in several disciplines. For example, there are mental health consultants, school consultants, management consultants, organization and community development consultants, and others.

Consultation has been defined in various ways but the most inclusive and accepted definition comes from R. Lippitt (1959). He defines consultation as a voluntary, temporary, relationship between a professional helper (consultant) and a help-needing system (client) in which the consultant is attempting to give help to the client in solving some current or potential problem. Though some authors would disagree, R. Lippitt (1959) also adds that the consultant is an "outsider", *i.e.* is not part of any hierarchical power system in which the client is located.

Although consultation has been acknowledged as an important approach in dealing with individual, group, organizational and community concerns much work remains in understanding clearly the nature of effective consultation. As Robbins and Spencer (1968: 362) point out,

Consultation is a rather vaguely defined process that is not too well understood. A search of the literature indicates that little useful research has been undertaken in this area. Nevertheless, consultation often plays a part - and sometimes a crucial part - in dealing with important problems, and as such merits study.

In this thesis a model of consultation is developed in an attempt to bring greater conceptual clarity to the field of consultation and in addition to provide the learner with specific examples of the kinds of activities a consultant may engage in to help his client. The model may be used by a consultant in any field in which he is helping people. The model is useful in conceptualizing the one-to-one consultation relationship (one consultant and one client) as well as the consulting relationship in which the consultant deals with a large social system, such as a community.

While the model of consultation described in this thesis is relevant to all fields of consultation, several examples of consultant-client interactions are given within the context of a consultant working with a community group or a small organizational unit.

Consultation has received the most attention in the health and business management fields; in the field of community development however, it has received very little attention, although the role of the community worker as consultant has been acknowledged (Moe, 1959).

With the growing complexities of modern organizations and communities, it is essential that practitioners working

in these areas have as many methods and skills at their disposal as possible in attempting to help their client. The importance of consultation in community development efforts is apparent. Moe (1959) states that while social scientists have not played a very conspicuous role in consulting with community leadership, this is changing as the complexity of problems increase and as advances are made in social science theory and research. He comments further that:

Sweeping changes in American society have created a great need for informed consultation on the part of leadership in organizations and communities. The rapid growth of large-scale, rationalized, bureaucratic organizations, together with increasing specialization and fragmentation of knowledge have been major factors in this development. (Moe, 1959:28)

Almost all community workers act as a consultant to some group or individual in the course of their work. Understanding the nature of consultation and having the skills necessary for effective consultation are important determinants of the community worker's overall effectiveness.

The following chapter provides a review of the literature on consultation with particular reference to weaknesses and omissions. Chapter III provides the reader with a quick overview of the model of consultation referred to above. The model describes five basic consultation processes; contracting, data collecting, educating, problem solving and developing rapport with the client. Chapters IV - VIII are devoted to a detailed discussion of these processes. Each process is considered from a conceptual or

theoretical point of view, providing the rationale for its inclusion in the model. Each process is also considered in terms of the types of consultant behaviors or activities which the consultant may use to carry out each process.

The usefulness of a model lies in its ability to help conceptualize what one is observing or doing. The model presented here was developed with this in mind. In addition it was developed with the intention that it may be used as a training tool, to facilitate the learning of consultation skills. In this connection the model was used in a consultation skills workshop as a training instrument. A preliminary or pilot study was undertaken as part of the workshop to help assess the use of the model for training purposes. The design, implementation and preliminary results of this workshop are described in Chapter IX.

In summary, this thesis is intended to:

- a, review the literature on consultation to date;
Chapter II,
- b, provide a clear conceptual framework of consultation
in the form of a model; Chapter III,
- c, describe the basic consultative processes in the
model and to give specific examples of these
processes in operation; Chapters IV - VIII,
- d, describe the use of the model during a three day
consultation skills workshop; Chapter IX.

CHAPTER II

REVIEW OF THE LITERATURE

A body of literature on consultation has emerged from the fields of organizational development, community development, social work, medicine, psychiatry, public health, nursing and education. This chapter attempts to synthesize the somewhat fragmented body of literature into a simple conceptual framework. A review of this literature indicates that while the problems and backgrounds of the clients and consultants may be different in each field, there does seem to be some common areas of agreement concerning the nature of consultation.

The literature on consultation is considered in this chapter in terms of the following:

a, Consultation: Problem Areas. This section deals with weaknesses in the present state of the literature on consultation.

b, Characteristics of Consultation. This section includes those defining elements of consultation which distinguish it from other types of helping relationships.

c, Factors Influencing the Consultation. The consultation relationship is considered in terms of how it is influenced by the consultant's approach to consultation (his style) and the client's expectations of the consultant.

d, Appropriateness of the Approaches to Consultation.

Various approaches to consultation are considered in terms of their appropriateness in given situations.

Consultation: Problem Areas

These may be summarized as follows:

a, Very little research has been undertaken on the consultation relationship, although the need for such research has been acknowledged by many writers (Argyris, 1970; Robbins and Spencer, 1968; Schein, 1969).

b, The literature on consultation has emerged from a wide variety of fields and much unconnected discussion and study of consultation seems to be taking place.

c, There is conceptual confusion in terms of models and goals of consultation and in terms of what the consultant does or tries to do to help a client.

d, There is no widely accepted model of consultation which clearly describes the basic processes underlying effective consultation, nor which provides specific, concrete examples of how a consultant may try to carry out these processes. The processes themselves are often described in general and sometimes vague terms.

e, A model is useful if it helps the learner to conceptualize what he is doing and to aid in skill development. Almost no research has been carried out to test the degree to which a model of consultation either helps in providing the learner with a "cognitive map" or in the acquisition of

consultation skills. A recent study by Wyatt (1972) is, to the writer's knowledge, the only research conducted in this area. This relatively unexplored area has important implications for designing training programs for learners.

Characteristics of Consultation

Consultation is a relationship between a consultant and client which has several distinct characteristics.

a, It is a voluntary relationship.

b, It is a relationship between a professional helper (consultant) and a help-needing system (client).

c, The consultant attempts to give help to the client in solving some current or potential problem.

d, The relationship is seen as temporary by both parties.

e, The consultant is an "outsider" *i.e.*, is not part of any hierarchical power system in which the client is located. (Some writers argue that a consultant may be "internal" - a part of the hierarchical system).

The above points form the basis of R. Lippitt's (1959) definition of consultation.

f, Consultation may take place on a one-to-one basis or the consultant may be a team and the client a group, agency or some other social unit (Gilbert, 1960; Maddux, 1955). Klein (1965:3) notes that the consultant's attention may be directed towards any one of the following levels.

- 1, the individual: *e.g.*, the learner, the teacher, the administrator,

- 2, the face-to-face group: *e.g.*, the classroom group, the family or an informal group,
- 3, the institutional system: *e.g.*, the school as a social system,
- 4, the inter-system: *e.g.*, the interplay between the school and other agencies and institutions in the community.

g, The client has the discretion to use or not to use any information, knowledge or skills acquired during the consultation. The consultant has no responsibility for, or authority over the actions of the client (Maddux, 1955; Boehme, 1956).

h, Consultation takes place in a work centered, problem-solving situation (Gilbert, 1960; Woody, 1971; Robbins *et al.*, 1970). Faust and Wrenn (1968) maintain that one of the main differences between counselling and consultation is that the former focuses on the client's "person" or "self" whereas the latter is on a problem-solving task.

Factors Influencing the Consultation

Much of the literature on consultation may be integrated into the following model or conceptual framework. The model depicts the notion that the consultant's style or approach to consultation and the client's expectations of the consultant influence several important elements in the consultation, and ultimately determine the outcomes of the consultation. Each part of the model will be elaborated

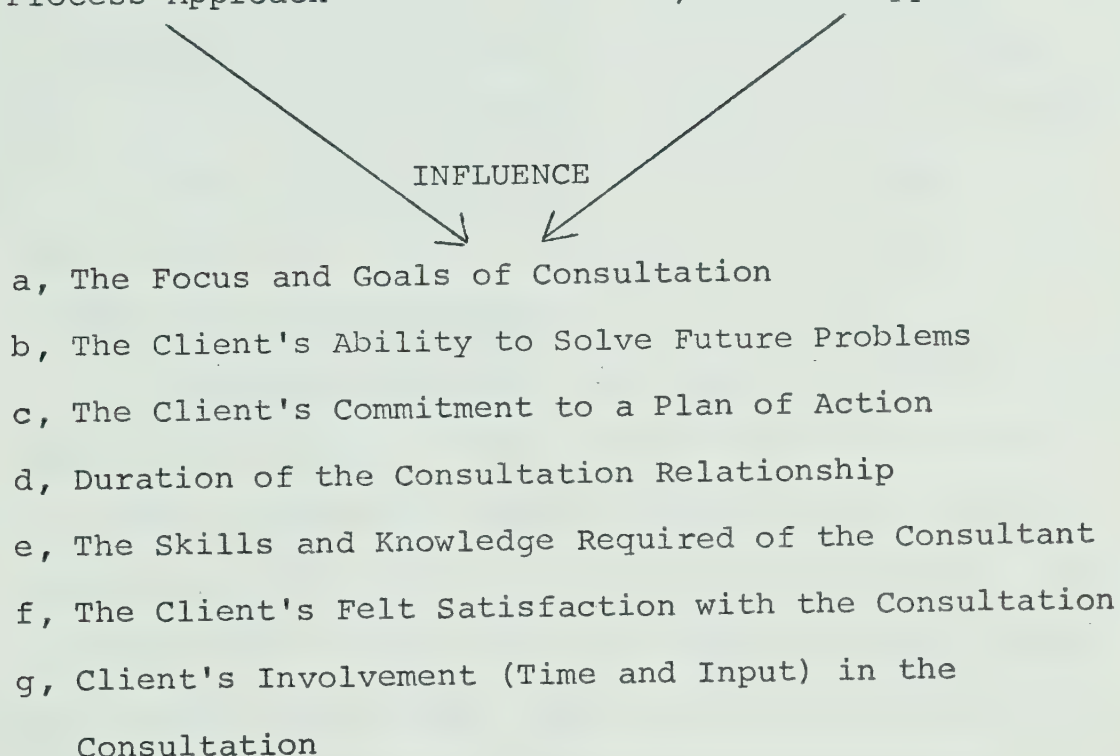
upon. The model may be depicted as follows:

The Consultant's Approach

- a, Expert Approach
- b, Resource Approach
- c, Process Approach

The Client's Expectations

- a, Expert Approach
- b, Resource Approach
- c, Process Approach



a, The Consultant's Approach: Models of Consultation

A description of three models or approaches to consultation will be useful in illustrating the choices a consultant has in dealing with a client and his problem. The approaches described are called the expert consultant, the resource consultant and the process consultant (Ferneau, 1954).

1. The Expert Model. The expert orientation has been described by several writers (Tilles, 1961;

Schein, 1969; Ferneau, 1954).

The expert consultant is one who concentrates his efforts upon arriving at the right answer for the specific problem. He analyzes the problem himself and makes recommendations for its solution. The expert consultant helps the client by using his specialized skill and knowledge to solve a problem which the client has neither the time nor ability to solve. The consultant's main goal is to solve the specific problem in the least amount of time.

2, The Resource Model. The resource model has been described by Ferneau (1954), Tilles (1961) and others.

The resource consultant concentrates his efforts on providing the client with relevant information. The consultant may provide the client with relevant information about the problem, about similar situations faced by others, and factors in the situation which the client may be unaware. The resource consultant's main goal is to help the client make informed choices by providing him the information he needs.

3, The Process Model. The process consultant has most recently been described by Schein (1969) and Argyris (1970).

The process consultant concentrates his efforts on helping the client to learn the skills and processes involved in solving problems. The consultant's goal is to foster the learning and skill development of the

client such that the client is able to solve his own present problem and similar problems which may occur in the future.

These are the three basic approaches to consultation described in the literature. Some writers prefer one approach more than others, and list various reasons for this. It is the writer's belief that each approach may be appropriate in certain situations.

b, The Client's Expectations of the Consultant

Both the consultant's approach to consultation and the client's expectations of the consultant influence several important aspects of the consultation. The importance of the client's expectations of the consultant was first described by Ferneau (1954). If the client is expecting the consultant to use an "expert" approach to the problem, and the consultant behaves in a manner consistent with the "process" approach, then conflict will inevitably follow. The importance of clarifying consultant-client role expectations early in the consultation relationship has been stressed by several writers (Robbins and Spencer, 1968; Ferneau, 1954; Caplan, 1970). More will be said about clarifying consultant-client expectations in Chapter IV.

The consultant's approach to consultation, and the client's expectations of the consultant may be considered in terms of how they influence several aspects of the consultation. These aspects are discussed in the following section.

c, Influence of the Consultant's Approach and the Client's Expectations

Much of the literature on consultation deals with the probable impact that the consultant's approach to consultation and the client's expectations of the consultant have on the client and his problem. The following aspects of consultation will be considered in this context.

1. The focus and goals of the consultation. The expert consultant typically focuses on the specific problem presented by the client. His primary goal is to solve the problem for the client. The resource consultant also focuses on the specific problem presented. His goal is to provide the client relevant information about the problem such that the client is able to solve his problem. The process consultant does not focus solely on the specific problem presented but helps the client to learn about the processes and skills involved in solving problems. The process consultant's goal then is to enable the client to solve his own present problem and similar problems which may occur in the future. Tilles (1961:92) refers to this goal as a "...change in the client's ability to solve problems independently." Implicit in this goal of consultation is the desire to facilitate the client's movement from a dependent, inactive stance toward his problem, to an independent, "proactive" stance (Schein, 1969; Koch, 1967; Caplan, 1959).

To enable the client to solve problems independently, the process consultant may attempt to facilitate the client's learning of problem solving skills or other skills which may be lacking. Schein (1969) stresses the importance of the client developing both problem solving skills and interpersonal skills. Klein and Perlitsh (1964:6) note that the consultant may facilitate the client's personal growth and development. Under this broad goal they include:

- (i) Increase in relevant knowledge.
- (ii) Cognitive restructuring, as reflected in attitude changes and shifts in perception and judgement.
- (iii) Increased self-assurance.
- (iv) Behavioral changes which manifest increased interpersonal and other relevant skills.
- (v) Increased ability to learn and grow in the face of similar or changing circumstances.

One other goal of consultation may be mentioned which applies to all approaches to consultation. This is the goal of developing and maintaining rapport with the client. The importance of the interpersonal relationship between consultant and client has been acknowledged by several writers (Caplan, 1970; Schein, 1969; Tilles, 1961; Beckhard, 1961; Maddux, 1955). To a large extent any other goals of consultation are dependent on the type of relationship established

between the consultant and client.

2. The Client's ability to solve future problems.

Several writers have expressed the concern that some approaches or models of consultation encourage the client to remain dependent on the consultant (Schein, 1969; Caplan, 1970; Schuttenburg, 1971). Schuttenberg (1971:62) notes that:

To the extent that the consultant uses his knowledge and powers of persuasion to solve a human relations problem apart from the active participation of the [client], he may be seen as "successful". But he also becomes "the expert", who will be expected to solve all such problems for the client in the future...[the consultant's] goal of helping people help themselves (that is, helping them become independent) is not achieved.

Neither the expert consultant nor the resource consultant attempts to improve the client's problem solving ability. The client is dependent on both the expert and resource consultants for the solution to future problems. The process consultant however, encourages the client to improve his skills to enable him to solve not only the present problem, but similar problems which may occur in the future.

3. The Client's commitment to action plans. A

criticism of the expert model is that frequently the client does not carry out the recommendations made by the consultant. One may speculate as to the reasons for this; the recommendations may be poor or unrealistic,

the client may not have the skills necessary to carry out the recommendations, or the client may not feel committed to the recommendations since he was not involved in making them. Schein (1969:7), in referring to the expert model notes that:

What is wrong of course is that...the consultant has not built up a common diagnostic frame of references with...his client. If the consultant does all the diagnosis while the client waits passively for a prescription, it is predictable that a communication gulf will arise which will make the prescription seem irrelevant and/or unpalatable.

Both the resource and process consultants leave the responsibility of developing a plan of action with the client. In this respect the client is likely to feel involved and committed to carry out a plan of action. The resource consultant assumes, however, that it is only information that the client needs for him to be able to solve a given problem. This may be accurate. However, if the client has all the needed information and has developed a plan of action but does not have the skills necessary to carry it out, then there will be no follow through on the plan.

The process consultant encourages the client to be totally involved in the problem solving process and as well encourages him to develop the skills necessary to implement a plan of action. In this respect, acceptance of a plan of action and commitment to its implementation are increased.

4. Duration of the consultation relationship. The process consultant may require more time with the client than either the expert or resource consultants. The process consultant is involved in an educational process with the client. To a lesser extent this is also true of the resource consultant. While the expert and resource consultants encourage the client to focus on the specific problem presented, the process consultant, in addition, helps the client to learn about the processes and skills involved in solving problems. This orientation may require more time.

5. The skills and knowledge required of the consultant. The expert and resource consultant require considerable knowledge about the nature of the specific problem. The expert consultant must be able to diagnose a problem accurately and develop recommendations which the client will understand and be capable of carrying out. The resource consultant should be able to provide helpful information to the client based on his experience and expertise in his area. The process consultant requires a knowledge of, and ability to teach, diagnosing and problem solving skills. As an educator he should be skilled in interpersonal and group processes and be able to create learning situations for the client. The process consultant does not necessarily require specific knowledge about the particular problem since his main goal is to encourage

the client to learn how to solve the problem himself.

6. The client's felt satisfaction with the consultation. Research by Ferneau (1954) indicates that the client satisfaction with a consultation is largely determined by the degree to which the consultant behaves as the client expects him to, whether the consultant's approach be that of the expert, resource or process consultant. One may conclude that neither of the models or approaches necessarily increases the probability of success as measured by the client's feelings about the consultation. In the same study Ferneau (1954) discovered however, that in terms of client preference for the three approaches they were rated as follows. The process consultant was preferred over the resource consultant and the resource consultant was preferred over the expert.

7. The client's involvement (time and input) in the consultation. The expert consultant requires the least amount of client involvement. The client simply presents the problem to the consultant. The consultant may require more information from the client but the consultant is essentially responsible for diagnosing the problem and presenting the client with recommendations for its solution. The resource consultant usually requires more client involvement than does the expert consultant. The resource model relies on a "flow of information" (Tilles, 1961) between consultant and

client. The consultant may provide the client with information on similar problems that have been solved elsewhere, or with aspects about the problem of which the client is unaware. The resource consultant does require the active involvement of the client to the extent of an ongoing process of sharing information. The process consultant requires the greatest degree of involvement and commitment on the part of the client. Schein (1969) and Argyris (1970) both stress the joint nature of the consultation relationship, where the consultant and client are actively involved in diagnosing the problem and where the client, with the help of the consultant, is responsible for developing an action plan to solve the problem. In addition, the process approach often involves the client in some form of skill training, usually in the areas of problem solving and interpersonal communication.

Appropriateness of the Approaches to Consultation

While there is insufficient research to show which approach to consultation is most effective in certain situations, one may safely say that it is largely dependent on the client's needs. For example, the expert approach may be appropriate in a crisis situation where the client neither desires nor is capable of solving the problem. Crisis consultation occurs frequently in the mental health field where the consultant diagnoses the problem and takes steps

to alleviate the crisis situation. The resource approach may be appropriate when the client has the skills to solve a problem but simply lacks the information needed to design an action plan.

The process approach may be most appropriate when the client's difficulty centers around his lack of knowledge and skills in diagnosing and solving problems. The process consultant is most effective when the client wants to take a more independent stance on his problem by developing his problem solving skills.

The model of consultation which is overviewed in the following chapter is relevant to all three approaches to consultation, although many examples of consultant-client interactions are given which reflect more of the process approach to consultation. In these cases, it has been assumed that the consultant and client have agreed that the process approach is most appropriate.

Summary

This chapter focused on the present state of the literature on consultation. Areas of weakness in the literature were noted and the characteristics of the consultation relationship were described. The consultant's approach to consultation (expert, resource or process) and the client's expectations of the consultant were considered in terms of how they influence the focus and goals of consultation, the client's ability to solve future problems,

the client's commitment to action plans, duration of the consultation relationship, skills and knowledge required of the consultant, the client's felt satisfaction with the consultation, and his involvement (time and input) in the consultation. Finally, it was suggested that each approach to consultation described might be appropriate in a certain situation, depending on the client's needs.

CHAPTER III

OVERVIEW OF THE MODEL

A distinction may be made between the specific problem dealt with in consultation, that is the *content* of the problem, and the approaches or *processes* involved in solving the problem. The model of consultation overviewed in this chapter and more fully described in Chapters IV - VIII, includes five basic consultative processes; the processes of contracting, data collecting, problem solving, educating and developing rapport with the client.

This chapter describes the rationale for building the model and the manner in which the model was developed. The basic operational aspects of model are defined in terms of the five consultative processes mentioned above. The inter-relatedness of these processes is acknowledged with particular reference to the process of developing rapport, which is seen by the writer as one which underlies and influences the other four processes. That is, the consultant is continually fostering or hindering rapport with the client while engaged in any of the other consultative processes. The model is considered in relation to the expert, resource and process approaches to consultation. Various uses of the model are suggested at the end of the Chapter.

Rationale for the Development of the Model

This model was developed to provide the learner with a simple framework or cognitive map of the consultative processes and to give specific examples of how each process may be operationalized. A review of the literature indicates that models of consultation are most often described in general terms and as Schein (1969:4) points out there is no "...neat typology of consultation processes, although a few models can be identified from the literature."

The model developed here then is intended to help the consultant to conceptualize what he is doing or may choose to do in terms of five basic consultative processes and to describe methods and give specific examples of how to carry out each process. A deficiency in the literature, in the writer's opinion, is that although some consultative processes can be identified, there is little emphasis on how these processes may be carried out. The model described here was developed with a practical orientation by emphasizing specific "hows". Various uses of the model in a training context are considered in Chapter IX.

The Development of the Model

The model was developed primarily from the existing literature on consultation. After careful study, five processes emerged which seemed to have some distinctiveness about them, in terms of methods and skills required to carry them out. The model has also been modified following

its use as a training instrument during a three day consultation skills workshop (see Chapter IX). In addition to clarifying conceptually each process, the model describes consultant interventions which reflect each process in operation. Most of these examples were developed by the writer based on his experience.

Definitions of the Consultative Processes

The five basic consultative processes which form the basis of the model may be defined as follows.

a, The contracting process refers to the interaction between the consultant and client in which both parties attempt to share and clarify their goals, roles and expectations with respect to the consultation relationship.

b, The data collection process involves activities in gathering data concerning the client, the problem, the client's working or organizational environment and the interaction between the consultant and the client. The data may be collected primarily either by the consultant or the client or the process may involve a shared, joint data collection task between consultant and client.

c, The problem solving process includes those activities that lead to the solution of a specific problem, such as the activities involved in defining and formulating the problem, generating solution proposals, evaluating solution proposals, developing an action plan, taking action steps, and evaluating the results of action taken. Either the consultant or

the client may be primarily responsible for carrying out this process, or as in (b) above, it could be a joint task.

d, The educative process refers to the interaction between the consultant and client in which the consultant facilitates the client's learning of skills and knowledge that will help him solve not only his present problem but similar problems in the future.

e, The process of developing rapport refers to the consultant's behavior which maximizes the effectiveness of the communication between consultant and client such that the consultant is perceived as being authentic (congruent, honest) and empathic (understanding, accepting).

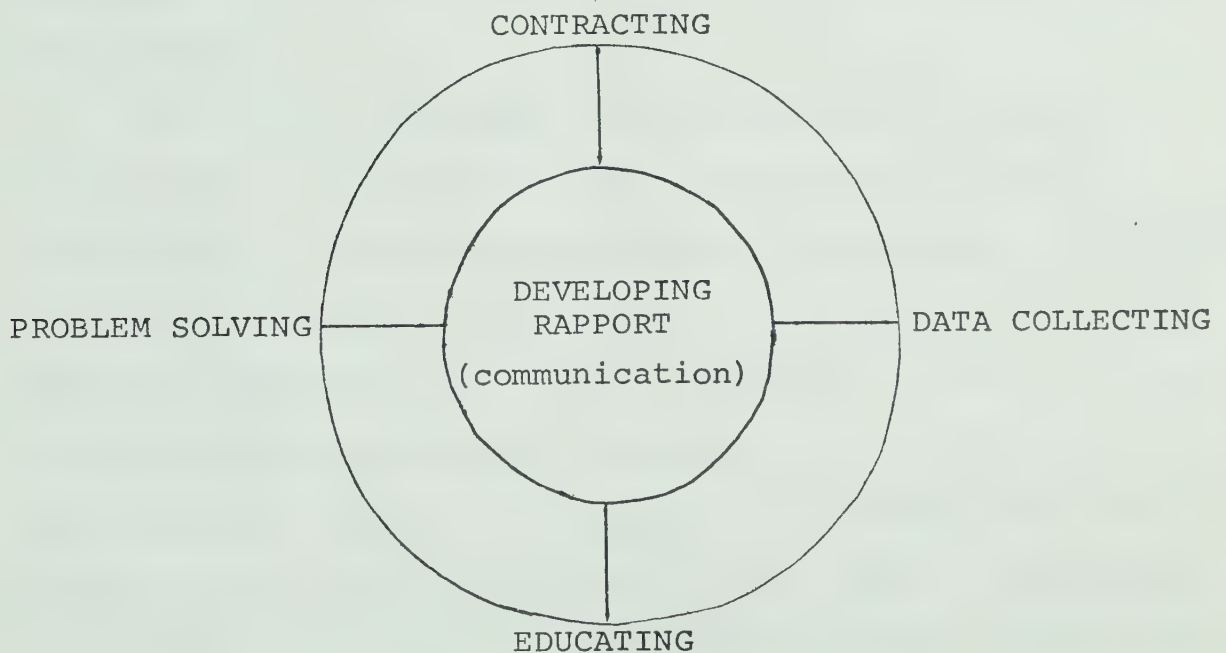
A chapter is devoted to each one of these processes.

The Inter-relatedness of the Consultative Processes

Any consultation will likely involve all or most of the consultative processes defined. The processes themselves are inter-related. For example, the data collection process is essential to problem solving and in the assessment of the client's educational needs. Similarly, the educative methods used (or not used) in consultation will be influenced by the contracting process in which the consultant and client determine a mutually satisfying manner of working with each other.

The process of developing rapport is seen not only as being inter-related to the other processes, but as a strong determinant of how well the other processes are carried out.

The process of developing rapport is a foundation upon which all other processes are built. The consultant, whether he is aware of it or not, is constantly fostering or hindering rapport by the way in which he is interacting with the client. The processes of contracting, data collecting, problem solving and educating while inter-related, still involve the consultant in distinct activities. The process of developing rapport is also a distinctive process but is one which occurs simultaneously with the other processes. This may be depicted as follows.



This diagram depicts the inter-relatedness of the contracting, problem solving, educating and data collecting processes as all of them are connected by a common circle. The inner circle, developing rapport, is connected to the outer circle depicting the other processes, and illustrates, diagrammatically, the notion that each of the four processes

on the outer circle is continually influenced by the consultant's ability to develop and maintain rapport with the client. The process of developing rapport is, then, a central, basic, underlying process in consultation.

Sequence of the Consultative Processes

The model does not reflect a sequential flow of consultative processes. The consultative processes are seen as on-going throughout the consultation. They may be operationalized at any time (the timing is, of course, important) and several processes may be used during a short time period.

While it is important that the contracting process begins early in the consultation relationship, it is, nevertheless, an on-going process in consultation. Generally the data collection process is used to a greater extent in the early phase of a consulting relationship, but it too is a process which continues throughout the consultation relationship. All of the consultative processes may not occur during a single consultation, but they do illustrate the choices a consultant has in approaching the client and his problem.

The Model in Relation to the Expert, Resource and Process Approaches to Consultation

In Chapter II, three broad approaches to consultation were described; that of the expert, resource and process

consultant. The model developed in this thesis considers specific behaviors of the consultant in terms of five basic consultation processes. All of these processes may be utilized by the consultant, regardless of the broad approach (expert, resource or process) used by the consultant. However, it has already been noted that the educative process is more predominant with the process approach than with either the resource or expert approaches. The contracting, data collecting and problem solving processes may be used by the expert, resource or process consultant, although the methods they use to carry out the process may differ. For example, both the expert and process consultant may be involved in a problem solving process, but the former may carry out the process himself while the latter may require the active involvement of the client.

The consultative processes outlined in the model help illustrate the choices a consultant has in dealing with his client; the model does not prescribe a particular style or approach that is best for all consultation settings.

Uses of the Model

Following are some ways in which the model may be useful.

a, In Process Clarification. The consultant, while interacting with the client, may make explicit what processes they are involved in, and help the client to understand the the nature of their interaction, thus reducing client

confusion.

b, To Help the Consultant Clarify his own Position to the Client. Without a clear framework or conceptual map of the consultative processes, a consultant may not be able to state clearly what his approach to consulting is, how he likes to work, what he sees his role as, etc. The model then may be useful in helping the consultant clarify his own position to the client.

c, In Helping to Illustrate the Choices a Consultant has in Working with the Client. The model of consultation describes five basic consultative process, and various methods of carrying out these processes. By making these explicit, the consultant has several options or choices available to him in ways of dealing with his client. For example, during the contracting process the consultant and client may agree that the process approach to the problem would be better than the expert approach. The model then helps to illustrate various ways of dealing with a client rather than prescribing a single consulting style.

d, For Training Purposes. The model may be used in a variety of ways for educational or training purposes. The model of consultation was used in a consultation skills workshop by the writer. A description of its use in that setting is included in Chapter IX. One method of using the model is to rate one's own audio tape of a consultation session. A very simple rating scale could be used to measure the degree to which each process was carried out

during the session. For example, a consultant may rate his tape as being very low on contracting, very high on data collection, etc. This data may help him to conceptualize what he was doing during the session and to decide if any change in his style is warranted (in the consultation skills workshop, some participants felt that they overused or under-used a process and attempted to modify their behavior accordingly).

Summary

An overview of the model was presented by first describing the rationale for its development and the manner in which it was developed. The five basic consultative processes which constitute the model were defined. The inter-relatedness of these processes was noted. The process of developing rapport was differentiated from the other processes as an underlying process in consultation which occurs continually and simultaneously with the other processes. It was noted that the model does not prescribe a particular approach to consultation and its relation to the three broad approaches to consultation (the expert, resource and process approaches) was discussed. Finally, various uses of the model were indicated.

CHAPTER IV

THE CONTRACTING PROCESS IN CONSULTATION

This chapter defines and describes the contracting process in consultation. The importance of the contracting process is made explicit and supported by empirical research. The concept of a consultation contract is introduced and possible content areas of the contract are outlined. Specific examples of consultant interventions which reflect the contracting process in operation are described at the end of the chapter. Intervention is used in the sense of "entering into an on-going system of relationship, to come between or among persons, groups, or objects for the purpose of helping them." (Argyris, 1970).

The contracting process in consultation refers to the interaction between the consultant and client in which both parties attempt to share and clarify their goals, roles and expectations of the consultation relationship. The consultant encourages the client to make explicit what he wants from the consultant and by what method. On his part, the consultant states explicitly his own goals and expectations as to how he expects to function in the relationship. This contracting process typically involves the consultant and client negotiating - trying to determine how they might work best together in satisfying both the client's and consultant's needs.

Agreements made describing the main parameters of the relationship result in what is often called a "contract", which basically outlines the "range of permissive behavior" (Ferneau, 1954) of both consultant and client.

The consultation contract may be an informal verbal agreement between the consultant and client about their complementary roles or it may be of a more formal nature, in writing, and including more detailed aspects of the relationship. In either case the contract is negotiable - it is possible to change (and often does) during the consultation. In fact, a periodic check to see if the contract is being upheld and if it is still workable for both parties has been encouraged by Caplan (1970).

The contracting process helps the consultant to clarify his position to the client. In terms of the model of consultation described in this thesis, the consultant may choose to "contract" for involving the client in the processes described in the model. For example, he may say:

"From what you've been saying it sounds like you may want me to help you develop your problem solving skills, so that part of our relationship would involve an educative process. I am prepared to help guide you through some educative skill building experiences. Is this something you want?"

The contracting process can be carried out by the consultant whether his style be that of the expert, the resource or the process consultant. In fact, the consultant

could contract with the client over the consulting approach to be used. If, during this contracting process, the client states that he wants the consultant to use an expert approach and the consultant states that he is only willing to work if the client agrees to a process approach then they may decide to terminate their relationship, perhaps a better decision than continuing a relationship with undisclosed role conflicts.

Importance of the Contracting Process

The importance of clarifying consultant-client roles and expectations early in the consultation relationship has been well documented (Robbins and Spencer, 1968; Ferneau, 1954; Caplan, 1970). The contracting process assumes its importance as a method of reducing potential conflict between consultant and client by clearly "establishing the rules of the game" (Koch, 1967) early in the relationship.

Failure to clarify consultant-client roles and expectations often results in ineffective consultation. The importance of the contracting process may be summarized as follows.

a, The client may have had little experience with consultants and simply does not know how to use a consultant effectively (Tilles, 1961).

b, The client may have preconceived ideas of how a consultant should go about his business and if the consultant breaks the "range of permissive behavior" (Ferneau,

1954), the client will deem the consultation ineffective.

c, Failure to clarify roles often results in the consultant taking on the major responsibility for the consultation process, the client assuming a dependent position. Such dependency may impede effective consultation by placing the client in an inactive position (Beckhard, 1961; Maddux, 1955; Schein, 1969).

d, Failure to clarify roles is indicative of poor communication. The importance of establishing a consultant-client relationship with open communication has been stressed by several writers (Boehme, 1956; Wallen, 1968).

e, The consultant should model human interaction processes he believes are effective. By involving the client in a contracting process the consultant is setting an example of effective behavior, from which the client may learn.

The importance of clarifying consultant-client expectations has been highlighted in two research studies. Robbins and Spencer (1968:363) discovered that typically consultants and clients do come into consultations with different views. For example, on a survey given to both consultants and clients in the public health field, 47% (of 51 clients) stated that "the consultant should present direct, concrete, answers", while only 12% (of 26 consultants) answered in this manner. The findings of this study suggest that differing consultant-client expectations lead to sources of conflict since each party may be expecting the other to behave in a different way.

Ferneau (1954) discovered that a client's satisfaction with consultation was not primarily determined by the consultant's style but that the major variable was the degree to which the consultant and client behaved according to the manner that each expected of the other. Through case studies Ferneau (1954) identified three consultant styles (as described in Chapter II), that of the "expert consultant", the "resource consultant" and the "process consultant". He was unable to find any relationship between consultant style and success of consultation as measured by the client's subjective appraisal of the consultation. The clients expressed their satisfaction not in terms of consultant style or outcomes of the consultation but rather by their role perception of the consultant and the degree to which he operated within that "range of permissive behavior". For example, if a client simply wanted someone else to diagnose his problem and tell him what to do then he would likely get along well with the "expert" consultant who interacts minimally with the client and takes all responsibility for diagnosing the problem and generating a solution. On the other hand the same client would likely be in conflict with a "process consultant" whose aim it would be to help him solve his own problem by teaching him diagnosing and problem solving skills.

Frohman (1970) conducted a laboratory study which demonstrated the importance of consultants and clients sharing their goals and resources. Frohman (1970:56) states

Near the beginning of identical projects, one group of consultants and clients went through a joint goal setting exercise that involves an exchange of information concerning the goals and resources of each. The other group did not exchange this information. The results indicated that those who exchanged the information established better working relationships and allocated their resources more effectively and efficiently than those who did not exchange the information and consequently did not establish a collaborative working relationship.

The studies provide empirical support for the importance of the contracting process in consultation. The following section deals in more detail with the consultation contract in terms of its possible content.

Content of the Consultation Contract

Schein (1969) views the consultation contract as having two aspects, a formal contract and a psychological contract. The formal contract includes such agreements as to time spent in consultation, services to be performed, and form and amount of payment. The psychological contract refers to what the client basically expects to gain from the relationship, and what the consultant expects to gain. Schein (1969) stresses the importance of both client and consultant exploring both aspects of the contract.

Following is a list of areas that may be explored by the consultant during the contracting process. Discussion in these areas may form the basis of the consultation contract. The list may be used as a checklist to ensure that areas of potential conflict have been discussed.

- a, The consultant's and client's goals for the consultation.
- b, Broad definition of the problem.
- c, Relationship of the problem to a larger system.
- d, Client resources and abilities applicable to the problem.
- e, Consultant resources and abilities applicable to the problem.
- f, Broad mode of approach to the problem.
- g, The nature of the consultant-client relationship.
- h, Expected benefits for the client.
- i, Expected benefits for the consultant.
- j, Ability of one party to influence the other.
- k, Conditions for terminating the relationship.
- l, The kinds of help that are acceptable to both parties.
- m, The kinds of activities that will be undertaken and who will be involved in them.
- n, Expected time duration of the consultation, frequency of consultations, and method of payment.
- o, What the consultant will not do.

Some of these areas then may early in the relationship help define a tentative working contract. In addition to setting the basic guidelines for the consultation relationship, the contracting process also involves the consultant and client making specific, on-the-spot agreements, as to how they will work together. This type of on-the-spot contracting is described in the following section.

On-the-Spot Contracting

The concept of on-the-spot contracting has received very little attention in the literature, but is seen by the writer as being vitally important in the consultation relationship.

While the consultation contract may outline main areas of agreement between the client and consultant, on-the-spot contracting ensures that specific interventions planned or suggested by the consultant are acceptable to the client. For example, a consultant may say:

"This seems to be a good time to do an exercise which helps to develop problem solving skills. Is this something you want to try?"

or

"I could give you some feedback on how I've experienced your behavior during the meeting. Would this be something you want?"

On-the-spot contracting statements such as the above help to ensure that the consultant and client do not engage in activity that is not wanted by either party. On-the-spot contracting is extremely important in assessing the impact of the consultant's interventions. The consultant may make what he considers to be helpful interventions and within the guidelines of the consultation contract, but he cannot know for sure, unless the client tells him. The consultant then may ask for feedback from the client, the nature of which may encourage the consultant to change his behavior. For

example:

"You've had a chance now to experience working with video-feedback. Is this a helpful method to use? Do you want to continue?"

or

"I would like to stop for just a few seconds and ask you if you're getting from me what you wanted. Is this going alright for you?"

Examples of the Contracting Process

Following are some specific examples of the contracting process.

a, The Consultant Conveys His Own Ideas or Feelings Concerning the Nature of the Consultation Relationship.

e.g. "May I emphasize that I see my primary responsibility as one of helping to strengthen the problem solving, decision making and implementing activities with this system." (Argyris, 1971).

e.g. "I am not prepared to accept the responsibility of solving your problem for you. I would, however, be willing to try and help you solve your own problems."

e.g. "I only request that if either side decides to terminate, that we will talk about it for half an hour."

e.g. "One of my goals is that you will develop the skills necessary to be able to solve this problem yourself and hopefully any other similar problems in the future. These skills may be in the areas of problem solving, data collecting,

and establishing effective interpersonal relationships."

e.g. "I would like permission to tape record all of our sessions. This will help me in improving my own skills which is one benefit I hope to achieve by working with you."

b, Consultant Encourages the Client to Share His Ideas and Feelings Concerning the Nature of the Consultation Relationship.

e.g. "It's important for me to know what you are expecting of me as a consultant."

e.g. "I would like to know what your feelings are concerning the method of working I have been describing."

e.g. "Do you have any thoughts about how I may be of most help to you?"

c, Consultant Checks to Ensure that the Contract is Understood and is Still Satisfactory to the Client.

e.g. "We've worked together for two days now. Is the approach we've been taking working alright for you?"

e.g. "I'm starting to feel that the way we're working together is not what you want. Perhaps it would be helpful to change our approach, what do you think?"

d, Consultant Contracts for Specific Interventions.

e.g. "What I just said to you was an example of personal feedback. Would you like me to continue in this way?"

e.g. "I have an exercise here which helps to develop problem solving skills. Is this something you would want to try?"

e.g. "I would like you to stop the task now and think about the method you are using in approaching the problem. O.K.?"

e.g. "I have a suggestion. Would you be willing to reverse roles with me, that is I'll act as if I were you and you act as if you were me?"

e. Consultant Encourages Feedback from the Client to Determine the Appropriateness of His Interventions.

e.g. "You've had a chance now to experience analyzing these video tapes. Is this approach helpful? Shall we continue?"

e.g. "That was an example of role-reversal. Was it useful? Is this the type of activity you want to do more of?"

e.g. "Was the theory input I gave useful or shall we stay more to the experiential learning?"

Summary

This chapter focused on the contracting process in consultation. The process was defined and described. The importance of the contracting process was emphasized with the help of supporting empirical research. The concept of establishing a contract with the client was introduced, and examples of content areas of the contract were noted. On-the-spot contracting was described and its importance emphasized. Finally, specific examples were given of consultant interventions which reflect the contracting

process in operation.

CHAPTER V

THE DATA COLLECTION PROCESS IN CONSULTATION

This chapter defines and describes the data collection process in consultation. The importance of the process is discussed and specific areas where data may be collected by the consultant and client are outlined. Various methods of collecting data are described. Finally, specific examples are given of consultant interventions which reflect this process in operation.

The data collection process involves activities to generate valid information concerning the client, his problem, his working or organizational environment and on the interaction between the consultant and client. These activities may be reflected in a joint interaction between the consultant and client, the consultant may collect data by himself (*e.g.* through his observations), the consultant may encourage the client to collect information for himself, or a combination of all three of these modes may be used.

The data collection process is an on-going process throughout the consultation. Even if data is not deliberately gathered, each encounter between consultant and client provides new information. Information collected may be historical or it may be more of a "here and now" nature. For example, if a consultant finds himself resentful of the client, that is information that may be explored by them.

A consultant is continually collecting information about his own thoughts and feelings in addition to seeking information concerning the client system.

Importance of the Data Collection Process

Several writers have stressed the importance of the data collection process in consultation. Gibb (1959:3) states that "The consulting process, to be effective, must be a data-gathering enterprise..." Argyris (1970) considers the generation of valid information a primary task of the consultant. He states that

Without valid information, it would be difficult for the client to learn and for the interventionist to help...it has been accepted that valid and useful information is the foundation for effective intervention - valid information is that which describes the factors, plus their interrelationships, that create the problem for the client system. (Argyris, 1970:17).

The importance of the data collection process may be summarized as follows:

- a, Valid and useful information is the foundation for effective intervention
- b, The problem solving process requires valid information
- c, Helps in assessing the educational needs of the client
- d, Helps to ensure maximum use of the consultant-client resources (skills and knowledge)

- e, Helps the consultant and client determine the most productive areas in which to devote their time and energy - it may be the client himself or part of his environment which needs changing, or a combination of both
- f, The data collection process is the main process involved in diagnosing the client system
- g, To enable the client to make free and informed decisions
- h, Facilitates the expression of differing views of the problem situation
- i, Before data can be integrated into a useful conceptual map, it must first be collected.

Validity and Usefulness of the Data Collected

Argyris (1970) stresses that information collected should be both valid and useful. He suggests the following tests for validity.

- a, Having several diagnoses suggest the same problem situation;
- b, Generating predictions from the diagnosis that are subsequently confirmed;
- c, Alternating the factors systematically and predicting the effects upon the system as a whole;
- d, Data based on specific, observable behavior is generally more valid than information based on inference or evaluative information.

Argyris (1970) notes that valid information itself is not enough. It must also be useful and understandable to the client. In this respect Blansfield (1969) states that a consultant should not accept data provided as "confidential" since it cannot become the property of the client and is therefore not useful. Anonymous data is, however, often collected from a client system.

Areas of Data Collection

Various factors influence a problem and attempts to solve it at any given time. These include factors in the following areas:

- a, Data concerning the client;
- b, Data concerning the problem;
- c, Data concerning the client's working or organizational environment;
- d, Data concerning the interaction between the consultant and client.

These areas will be described in greater detail followed by a list of specific areas (a data pool) a consultant may choose to explore with the client.

a, Data concerning the client. Data in this area which may be useful for the consultant includes; the client's expectations, value system, resources (skills and knowledge), interpersonal style (Rasmussen, 1971) as well as his attitudes (particularly regarding change and authority issues) and motivation (Kolb, 1970). Maddux (1955) also

notes that information on differences between the client's perception of the problem and the consultant's perception of the problem is worthy of exploration. The manner in which the client presents the problem to the consultant may also reflect part of the client's problem. Argyris (1970) stresses the importance of collecting data on the client's perception of the problem. Specifically, he considers the following five factors:

- 1, The locus of the problem - this concerns the degree to which the client sees the problem as being located in others, in himself, in the system, outside the system, or as a combination of the four.
- 2, The degree of evaluative, attributive and descriptive behavior used by the client - this refers to the client's communication style - whether he describes the problem in terms of specific, verifiable data or whether he makes inferences, evaluations and generalizations.
- 3, The degree of consistency in describing the problem - this refers to the client's degree of consistency of the description of the problem over time.
- 4, The degree to which embarrassing and difficult issues are discussed overtly.
- 5, Non-verbal cues - this refers to non-verbal cues such as tone of voice, gestures, etc., which are experienced as the client describes the problem.

Wyatt (1972) stresses the importance of exploring the

client's feeling state regarding the problem. After reviewing the literature on the interplay between the client's feelings and problem solving, Wyatt (1972:23) states that

Feelings play a crucial part in problem solving. Feelings affect the definition of the problem, the problem-solving process, movement to actions or solutions, and the helping relationship. Along any of these dimensions they can help or hinder effective problem solving. Feelings often become the problem itself."

The following list summarizes areas that are important regarding the collection of data concerning the client. It may be used as a checklist for the consultant.

- Client's: - background
- personality
 - resources--skills, experience, intellectual capacity, etc.
 - value system, attitudes, needs
 - motivation, commitment
 - perception of the problem, its focus (does he see himself as part of the problem)
 - interpersonal style (dependent, independent, etc.)
 - strengths and weaknesses
 - "here and now" thoughts and feelings
 - non-verbal behavior
 - manner of describing the problem (descriptive, evaluative, inferential)
 - the degree to which embarrassing and

difficult issues are discussed overtly.

b, Data concerning the problem. In addition to gathering information concerning the client's perception of the problem, data may be gathered about the problem, independent of the client. The consultant may explore the historical roots of the problem as well as the size and nature of the problem. The nature of the problem may concern a lack of technical information, lack of client skills in interpersonal issues, etc. A problem does not exist outside of the many factors that cause it. Gathering information about the problem then does involve an exploration of many areas. The need for collecting information about the problem in descriptive terms has been stressed by writers in the field (Argyris, 1970; Wallen, 1968d). A descriptive statement of the problem focuses on the problem in terms of specific descriptions or examples, without interpretations, evaluations, inferences and broad generalizations. Data concerning the client's problem may be summarized in general terms as:

- historical roots of the problem
- size and nature of the problem
- symptoms of the problem
- a behavioral description of the problem.

c, Data concerning the client's working or organizational environment. Schein (1969:9) defines consultation as a "set of activities on the part of the consultant which help the client to perceive, understand, and act upon the...events

which occur in the client's environment." It is obvious that information regarding the client's environment is imperative in understanding the client in relation to his problem. A client's problem is often centered around his working or organizational environment. Following is a list of factors which may be important to consider regarding the client's environment:

- client's position (power, status, etc.) in relation to others
- others' perceptions of the client and the problem
- the "givens" of the client's environment - those of a client's environment that are not possible to change
- environmental factors which contribute to the problem and those which may help to solve the problem
- areas of stress or conflict
- description of physical environment
- the norms or typical behavior patterns of those in the client's environment
- areas where change can most likely occur
- interaction between the client and those he works with.

d, Data concerning the interaction between the consultant and client. Every encounter between the consultant and the client provides new data. Argyris (1970:161) points out

that "While the client and consultant are striving to generate valid information about the problem, both are behaving in ways that may be helpful in confirming or disconfirming the diagnosis being generated." For example, a client's anxiety about the consultant may be so great that it inhibits their working together effectively. On the basis of this perception, the consultant may choose to explore further the client's feelings. It is important that difficulties between the consultant and client be explored.

The consultant may gather information not only about the client's thoughts and feelings, he may also collect information by being aware of his own phenomenological state. For example, if he experiences frustration or resentment for the client, this is information he may choose to explore with the client.

Data concerning the interaction between consultant and client may be summarized as follows:

- feelings experienced by the consultant and client of one another
- progress being made
- the interpersonal nature of the relationship (friendly, hostile, dependent, etc.)
- non-verbal cues
- the communication patterns - evaluative, inferential or descriptive.

Methods of Data Collection

It should be noted that data collection is an on-going process and that data collection is not a process that necessarily precedes an action step taken by the client or an intervention made by a consultant. As Schein (1969) points out, collecting data is in itself an intervention.

Every decision to observe something, or to ask a question, or to meet with someone constitutes an intervention. The consultant cannot, therefore, avoid or escape taking the responsibility for the kind of data-gathering method he uses. (Schein, 1969:9).

The method of collecting data then is an intervention in itself and should be carefully planned by the consultant. Schein (1969) notes three methods of data collection. They are:

- a, survey instruments;
- b, individual or group interviews;
- c, direct observation.

Other methods a consultant may use include:

- d, consultant monitors his own thoughts and feelings (his phenomenological experience);
- e, consultant solicits on-the-spot feedback from the client concerning the client's phenomenological experience;
- f, consultant guides the client into a structured or unstructured experiential learning process to generate information.

Following is an elaboration of these methods.

a, Survey instruments - Survey instruments such as questionnaires and opinion surveys have often been used by consultants as a method of gathering data (Byrd, 1965; G. Lippitt, 1959; Kolb, 1970; Gilbert, 1960; Bowman, 1959). Survey instruments are particularly useful when a consultant is dealing with a large client system. Schein (1969) notes, however, that such a method is often too impersonal and may be a poor method of collecting data, particularly in the early stages of the consultation relationship.

Questionnaires, inventories, surveys and data collecting interviews may be thought of as an action-research method of collecting data (Schuttenberg, 1971).

b, Individual or group interviews - The personal interview has often been used by consultants as a method of obtaining relevant data (Byrd, 1965; Schein, 1969; Kolb, 1970). Schein (1969) states that it is difficult to make a general statement as to what should be the content of an interview but states that it depends very much on the nature of the problem which is initially presented to the consultant and on his early observations.

c, Direct observation - The method of direct observation involves the consultant using himself as a data collecting tool (Kolb, 1970; Schein, 1969). The observant consultant can gather valuable data by examining the on-going processes and behavior of the client system. In dealing with groups Schein (1969) notes the importance of observing communication

processes, member roles, problem solving and decision-making activities, development of norms, leadership and authority as well as inter-group processes.

d, Consultant's phenomenological world - The consultant may gather information about himself in relation to his interaction with the client by being aware of his own thoughts, feelings and behavior. The consultant may choose to share some of his feelings with the client if he thinks they might contribute to exploring the issue at hand.

e, Consultant encourages direct feedback from the client - The client's feelings concerning the consultant and the problem being dealt with are important factors influencing the problem solving process. The consultant may gather information about the client's feeling state in a number of ways. Following are some examples:

1. The consultant asks the client what he is feeling
2. The consultant asks the client to draw a picture which represents his feelings and then to discuss it
3. The consultant asks the client to non-verbally express how he feels.

f, Consultant guides the client through an experiential process - The consultant may involve the client in some task or exercise which generates information about the client. Many techniques used in Gestalt therapy bring additional information into the awareness of both the client and

consultant. These techniques involve the use of fantasy, dialogue (role play) projections and others.

Data Collection and Depth of Intervention

An important skill of the consultant is to intervene at an appropriate depth such that a minimum amount of client defensiveness is caused (Argyris, 1970). The area of data probed by the consultant and the method used influence the client's reaction to the intervention. For example, exploring the client's background by asking direct questions is not as deep an intervention as exploring the client's feeling state via fantasy. Generally interventions become deeper as the consultant-client relationship grows, although this varies depending on the consultant's style. However, in collecting data the consultant should be aware of the depth of his intervention and its probable impact on the client.

Examples of the Data Collection Process

Following are some specific examples of data collection interventions.

a, Consultant Asks a Direct Question which is Intended to Surface Information Concerning the Client, the Problem, the Client's Environment, or the Interaction between the Consultant and Client

e.g. "Would you describe your experience and training so that we can begin to see what resources we have together here?"

e.g. "I'm feeling uncomfortable about our relationship.
I would like to know how you experience our
relationship?"

e.g. "What kinds of skills would you need in order for
you to do a better job?"

e.g. "Do you see yourself contributing to the problem
in any way?"

e.g. "How do you think others in the organization
perceive you?"

e.g. "How do you think you can use what you've learned
here in your working situation?"

b, Consultant Helps the Client Move from an Evaluative,
Inferential Description of the Problem to a Behavioral
Description of the Problem.

e.g. Client. "Another thing, the workers in that agency
don't want to communicate with our workers
so communications are bad."

Consultant. "Could you give me specific examples of
incidents that have happened that lead
you to believe these workers don't want
to talk to yours?"

e.g. Client. "He's just uncooperative thats all."

Consultant. "Could you tell me what he does that makes
you think he is uncooperative?"

c, Fantasy or Imagination.

Asking the client to share a future fantasy may be a
source of valuable information for the consultant and client.

Fantasies may reveal attitudes and feelings toward an area of concern.

e.g. "How do you imagine this problem will look in a year from now?"

e.g. "What do you imagine would happen if you told Mr. Green about how you feel?"

e.g. "If you could be somewhere else now, where would you like to be? Imagine that you could be anywhere, doing anything and describe this place."

e.g. If a group member expresses concern about what others think of him the consultant may say, "I would like you to look at each group member and describe what you imagine them to be thinking about you."

d, Drawing.

A consultant may ask a client to make a drawing about some aspects of his life or something about the environment he works in. If the client is a group common themes may be discussed. The client may be asked to describe what the drawing means to him.

e.g. "Draw a picture of how it feels to be in your organization."

e.g. "Draw a picture of your organization today and how you would like it to be in five years."

e, Physical Representation: Sculpting.

Members of a group are asked to arrange themselves physically in the room according to some group characteristic

they are troubled about.

e.g. "Those who feel very involved with the group sit in the center of the room, those who are somewhat interested and involved sit somewhere between the center group and the walls. Those who feel uninvolved and disinterested, sit by the walls."

Once the members have assumed these positions the consultant encourages the members to share their feelings about the way they placed themselves.

f, Polling.

This is a technique for generating information on group processes.

e.g. A consultant may ask for a group to poll itself on amount and quality of participation. Each member writes down his rating of himself and the others. The results are presented to the group.

g, Direct Observation.

The consultant can gather valuable data by examining the on-going behavior of the client and his interaction with others. The consultant should be sensitive to non-verbal as well as verbal behavior. The consultant may also move a client group into collecting data about themselves via observation. One technique is called the "fish bowl", where half of a group form a circle around the other half which have formed a smaller, center circle. The outside group may then be asked to observe the inner group while the inner group performs some task. The consultant generally

asks the observer group to look for specific behavior such as the degree of member participation, how decisions were made, examples of task, maintenance and blocking roles, etc. The information collected may then be discussed.

Summary

In this chapter the data collection process was defined as a process which involves activities to generate valid information concerning the client, the problem, the working or organizational environment and on the interaction between the consultant or client. These activities may be carried out by the consultant, the client, jointly or by a combination of all those of the above. The importance of the data collection process was discussed. The validity and usefulness of data collected were considered and specific areas where data may be collected were described. Various methods of collecting data were elaborated. Finally, specific examples were given of consultant interventions which reflect the data collection process in operation.

CHAPTER VI

THE PROBLEM SOLVING PROCESS IN CONSULTATION

This chapter focuses on the problem solving process in consultation. Many factors influence the problem solving process such as the problem itself, the approach used to solve the problem, the individual style of the problem solver, the environment in which the problem is being solved, the client's feelings about the problem, and the client's motivation to work on the problem. The consultant may explore these areas with the client as part of a data collecting process. It is obvious that the data collection process is interrelated with the problem solving process. However, for the purpose of conceptual clarity, these processes may be considered separately.

The chapter begins by noting that the consultant's style (*e.g.* the "expert", "resource" or "process" consultant) influences the broad approach taken to the client's problem. The types of problems typically dealt with in consultation are described. A problem solving model is presented, as a conceptual aid for integrating the thoughts of various writers in the field and to aid in a systematic discussion of the main activities involved in problem solving. The decision making process is considered as an integral part of the problem solving process. Finally, specific examples are given of consultant interventions which reflect the problem

solving process in operation.

Approaches to Problem Solving

The consultant's approach to consultation and the client's needs will largely determine the approach taken to solve the "presenting" problem. The presenting problem may be defined as that problem which the client initially perceives as the basis of his trouble and which requires a solution. However, it is often the case that what the client perceives as the problem may really be a symptom of some more basic, underlying issue.

In Chapter II, three approaches to consultation are described, each one of which involves a different approach to problem solving. The expert consultant attempts to solve the problem for the client. The resource consultant attempts only to provide the client with relevant information about the problem. The process consultant attempts to teach the client problem solving skills, a process in which the consultant and client are involved in a joint problem solving venture.

The problem solving process described in this chapter reflects the process approach to problem solving, in which both the consultant and client are actively involved in the process and where the consultant's goal is to enable the client to take a more independent stance in relation to his problem.

It is important to note that this approach to problem

solving is not always appropriate. The client may be skilled at problem solving but is simply blocked by a lack of relevant information. No matter what approach is taken to the problem, the consultant and client may "contract" or agree on an approach before actually dealing with the problem.

Importance of the Problem Solving Process

Problem solving is the most emphasized process in the consultation literature and forms the basis of nearly all definitions of consultation. Gilbert (1960:179) states that "consultation takes place in a work-centered, problem-solving situation." R. Lippitt (1959:5) states that consultation is a relationship "between a professional helper (consultant) and a help needing system (client) in which the consultant is attempting to give some help to the client in solving some current or potential problem." Koch (1967:203) emphasizes the importance of the problem solving process in consultation when he states that "...as consultants, problems are the central core of our business; we are sent in to deal with the solution to problems, as sensitive as that may be." Robbins *et al.* (1970:524) state simply that "consultation is a technique for dealing with problems."

The problem solving process may be defined as those activities that lead to the solution of a specific problem, such as the activities involved in defining and formulating the problem, generating solution proposals, developing an action plan, taking action steps and evaluating the results

of action taken. The activities or interventions a consultant may use to facilitate this process are described later in this chapter.

Problems Dealt with in Consultation

Since problems are a major focus in consultation, it will be useful to consider some of the types of problems typically brought into consultation sessions. Following are some frequent problem areas.

- a, Lack of knowledge (lack of information about the situation).
- b, Lack of skill.
 - 1. communication, interpersonal skills
 - 2. decision making skills
 - 3, problem solving skills
 - 4, data collection, diagnosing skills.
- c, Blockage and immobilization of productive energy.
- d, Lack of clarity, commitment, motivation, to goals for action.
- e, Lack of available resources external to the individual.
- f, Inappropriate distribution of power, too diffuse or too centralized.
- g, Lack of objectivity or awareness due to the emotional state of the client which prevents him from seeing other alternatives.
- h, Issues of client dependency and reaction to authority.

- i, Lack of interpersonal, interdivisional or inter-system communication.

[Adopted from R. Lippitt (1959) and Klein and Perlitsh (1964)].

Problem Solving Methods

The traditional approach to problem solving encourages the problem solver (client) to follow a systematic set of steps or stages in dealing with a problem. These stages typically include; problem formulation, generating solution proposals, evaluating or testing the proposals, developing an action plan, taking action steps and evaluating action taken.

Writers express different opinions as to the effectiveness of a step by step approach to problem solving. There is insufficient empirical data, however, to indicate that other approaches are more effective.

The step-by-step approach is most frequently criticized since it is seen by some writers as forcing the problem solver to follow a rigid set of steps and that the approach stifles individuality and flexibility. This need not be the case. The step-by-step model referred to previously may be seen as an aid in helping the client understand the processes involved in problem solving and having him consider the implications of eliminating some steps or prematurely moving to others.

Several writers state that poor problem solving often

results from eliminating an essential stage of problem solving or by prematurely moving to another phase (Maier, 1963; Pine and Horne, 1968; Argyris, 1970). Maier (1963:70) comments that:

The problem solver is prone to take his first conception of a problem as the starting point and move toward a desired goal. Thus the first group of skills in problem solving demands that considerable time be spent on exploring, choosing and isolating a starting point. In order to develop these skills, it is necessary to suppress an interest in solutions and develop a greater interest in exploring the problem.

Pine and Horne (1968:22) found in a study that "Community aids have a tendency to prematurely accept a statement of a problem, immediately propose a strongly held solution and rarely experience success."

A model of problem solving which clearly describes the important stages which are involved in solving a problem may be helpful in guiding the problem solver through the problem solving process.

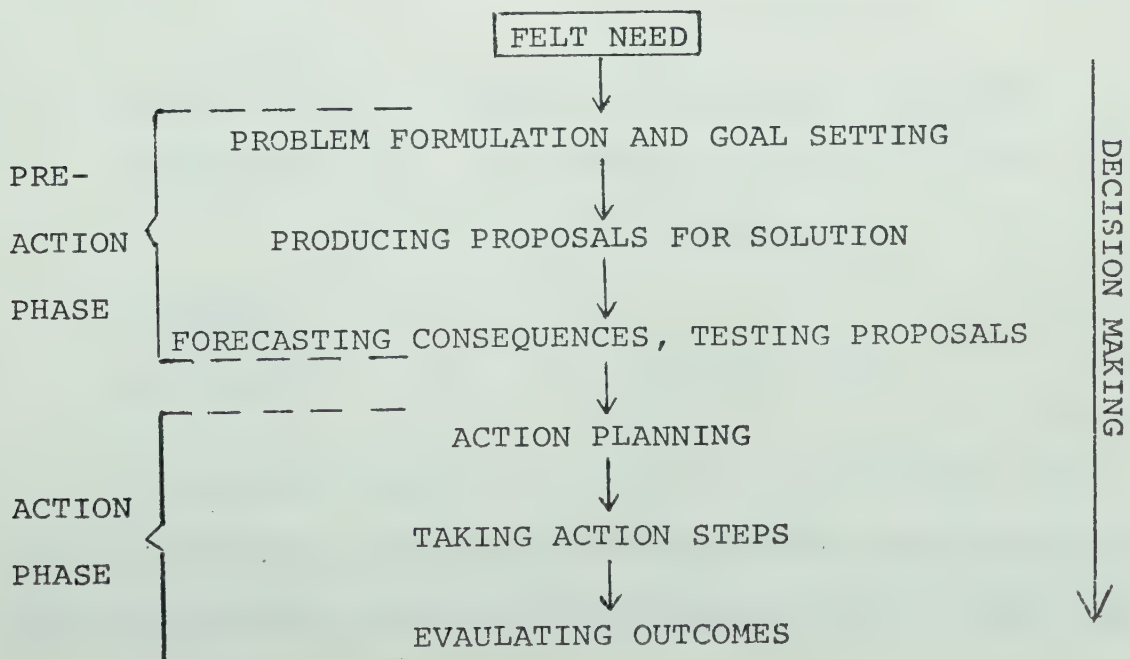
A simple step-by-step model is used in this chapter then for the following reasons.

- a, It provides a simple conceptual framework of the problem solving process.
- b, It can be used as a "process control" tool. A problem solver could ask himself "at what stage am I, have I eliminated any important steps, etc?"
- c, A step-by-step model need not be adhered to rigidly.

The problem itself may change or the client's needs may change. In this case the problem may be redefined and again approached systematically.

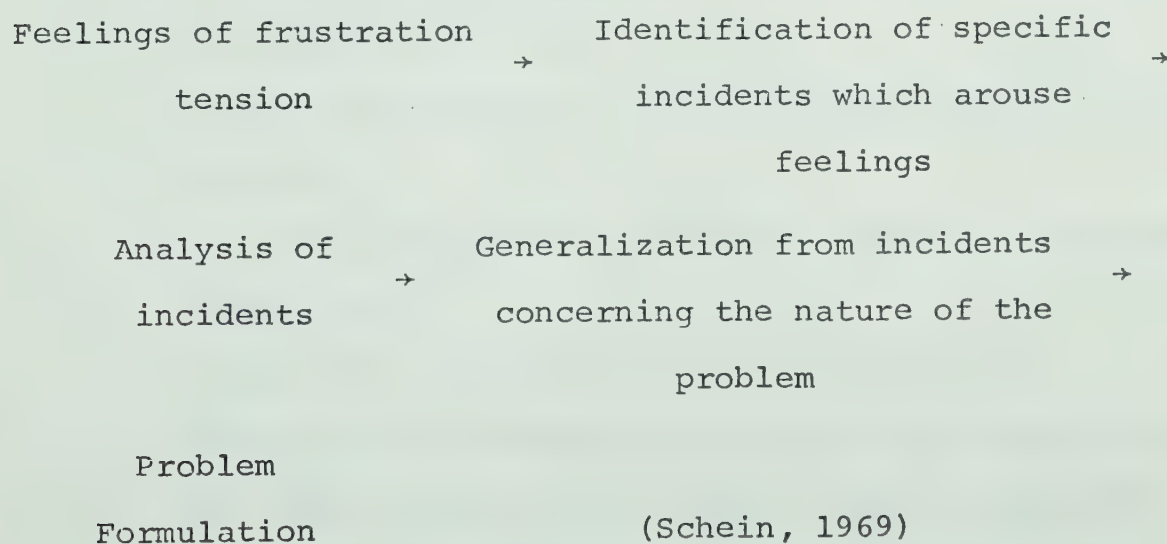
A Problem Solving Model

This section deals with the main activities involved in the problem solving process. These activities were described earlier as those which facilitate the client moving through a systematic sequence of steps or stages which results with the client taking independent action on his problem. Many problem solving models exist in the literature. The model described here seems to be exhaustive of the most important problem solving activities. The model, adapted from Schein (1969) will be expanded upon to include the concepts and techniques of other writers. The following diagram represents the sequential flow of the model. Each of the internal steps will be elaborated.



Problem Formulation and Goal Setting

Schein (1969:48) notes that "Before the client can begin to solve the problem he must identify or find it, and this is the crucial and most difficult stage of the whole cycle." One of the difficulties he often sees is the confusion between symptoms of a problem and the actual problem. Often a client may feel that something is wrong but is not able to identify it clearly. Here the consultant may help by encouraging the client to identify specific incidents which give rise to the client's feelings of frustration and tension. Schein (1969:49) states that "The essential step is to examine the concrete incidents and to generalize the problem from these." This sequence, leading to problem formulation may be depicted as follows:



It should be noted that clients are sometimes too quick at arriving at a problem formulation and prematurely start to consider possible solutions. In such cases the

consultant may have to slow the client down and have him consider carefully the exact nature of the problem.

It is important to understand that the problem may be changed during the consultation and that the consultant should be prepared to respond to the client's emerging and changing needs.

Problem identification or formulation is integrally connected to goal achievement. Kolb (1970) views goal definition as part of the diagnostic or problem formulation of problem solving. The basic question to consider is "What is the desired state toward which the client is striving?" Thus, part of the problem formulation step includes the setting of goals--goals which, if achieved, would eliminate the problem.

Goal formation is important in that it:

- a, Encourages the client to consider in a realistic fashion the nature of his environment without major problems.
- b, Provides a measure to determine progress being made toward goal.
- c, Reduces the possibility of misallocation of resources and reduces the possibility of members of the same client system working against each other.
- d, Gives clarity and purpose to the problem solving process.

Goals that are set by the client may be of a cognitive, attitudinal, or behavioral nature, as well as a combination

of these domains. Several writers have suggested that goals be:

- a, Measurable
- b, Realistic
- c, Shared by those affected by them
- d, Operationally defined
- e, Distinguished between those goals pertaining to:
 - 1. the problem itself
 - 2. growth and development
 - 3 the future of the helping relationship
 - 4. the helper's professional situation, including the objectives of his own organization

(Point e taken from Klein and Perlitsh, 1964).

Generating Solution Proposals

Once the problem has been well defined and clear cut objectives have been established, alternative solution proposals may be generated by the client, with the assistance of the consultant. The consultant may help the client to see alternatives if it seems necessary. While the problem formulation phase has a "what" quality--what is the problem and what are the goals, the generation of solution proposals phase has a "how" quality--how might the goals be achieved.

There are several methods or interventions a consultant may use to encourage the generation of solution proposals.

Some of these are:

- a, Brainstorming -- This is a technique used to generate a large number of ideas in a short time period. This is largely achieved by disallowing any evaluation or discussion on the solutions proposed, during the actual brainstorming period.
- b, Force Field Analysis -- The force field analysis approach to problem solving may aid in generating solution proposals, and also in the other problem solving steps. This technique starts with a description of the problem and a statement of the goal. For example, the goal may be to encourage participation in the community league. The force field analysis technique takes the following steps:
 - 1. List the forces for participation, without evaluating them.
 - 2. List the forces discouraging participation without evaluating them.
 - 3. Clarify and understand the items.
 - 4. Rank each of the lists in terms of the importance of the items.
 - 5. Ask "How can we increase the 'forces for' and/or decrease the 'forces against' participation."

It is at this point that solution proposals are being generated, with the prior steps facilitating this process.

- 6. Considering action alternatives.
- 7. Trying out an action plan.

8. Evaluation of action taken.

c, Another technique to facilitate the generation of solution proposals when working with a group is to suggest that each member take some time alone to write down all the possible solutions he can think of and then each individual shares these with the group where additional proposals may evolve. This technique ensures that each individual's ideas are heard and may produce more varied alternatives than if the group merely discussed alternatives as a whole without soliciting individual member proposals before group discussion.

It should be made clear that this step of generating solution proposals should not include an evaluation of the proposals. The objective of this step is to generate as many ideas as possible and thereby increasing perspective on the problem.

Schein (1969:49) points out that "At this stage [generating solution proposals] the most likely pitfall is that proposals are evaluated one at a time; thus the group is never permitted to gain perspective on the problem by looking at a whole array of possible ideas for solution." Schein (1969:4) goes on to say that the consultant can help out here by pointing out the consequences of premature evaluation:

a, there is insufficient opportunity for ideas to be judged in perspective because they cannot be compared to

other ideas.

b, evaluation tends to threaten not only a given idea but the person who proposed it (members whose ideas have been rejected early may feel less inclined to give ideas at a later stage).

March and Simon (1958) also point out that problem solvers often stop generating solution proposals as soon as one that seems to "suffice" is proposed. This "satisfying strategy" does not produce the optimal alternative. They note that "finding the optimal alternative is a radically different problem from finding a satisfactory alternative." (March and Simon, 1958:140). An optimizing strategy, if desired by the problem solver, would require generating a wide variety of alternatives and evaluating them against specific criteria or goals.

The phase of evaluating, testing and forecasting the consequences of each proposal is described in the next section.

Forecasting the Implications of Alternative Solutions

This stage of the problem solving process includes the testing, evaluation or forecasting of the consequences of each solution proposal. Schein (1969) points out that this stage is difficult since it is often not clear what criteria the group should be using to do its forecasting.

Testing criteria may include:

a, personal experience

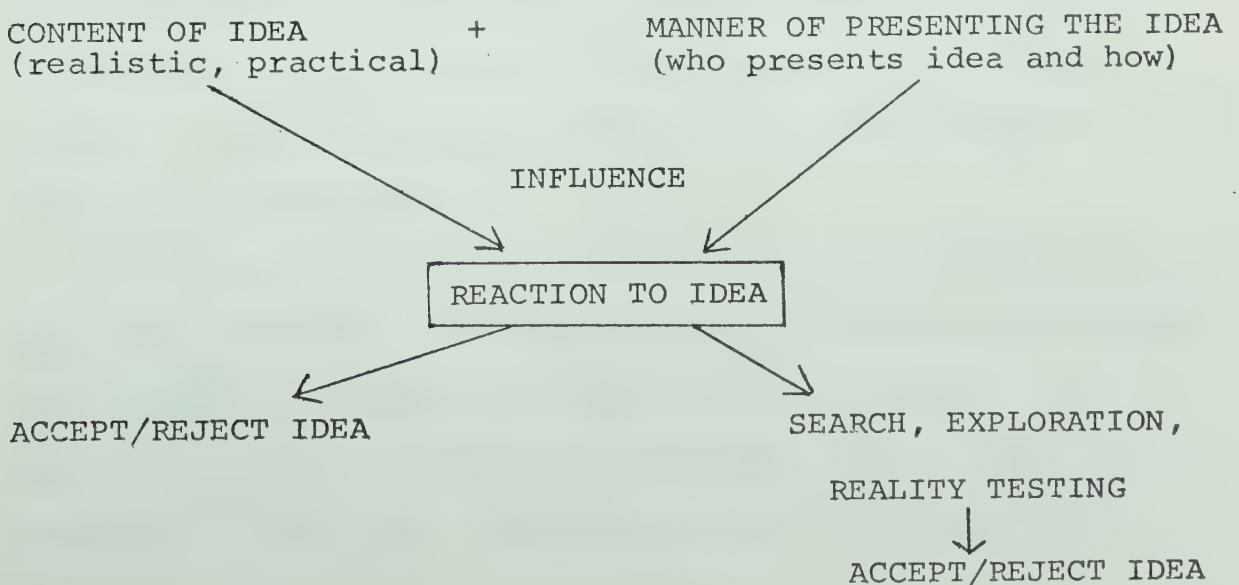
b, expert opinion

c, survey of existing data or research.

Schein (1969:50) states that "One of the key functions of the...consultant is to provide the group a range of alternatives, to enable it to correctly match its validation method to the kind of idea it is trying to test."

The consultant in this stage encourages close scrutiny of each alternative. He may test the reality of suggested alternatives through questions which lead the client into some new awareness.

A solution proposal is sometimes rejected or accepted without any systematic approach of evaluation. The evaluation of an idea is influenced by the content of the idea, the manner of presentation (who presents it and in what way) and the process of dealing with the initial feeling reaction to the idea. These three factors will be elaborated upon in the context of a model developed by the writer. The model may be depicted as follows.



The model includes three basic concepts.

- a, The content of the idea. This refers to the idea itself and the degree to which it seems to solve the problem.
- b, The presentation of the idea. This refers to the person presenting the idea and the manner of doing so.
- c, The process of idea evaluation. This refers to the process or manner in which the idea is dealt with after the initial reaction to it.

All three of these factors may influence the acceptance or rejection of an idea. For example, an idea may be rejected for practical considerations simply because it does not seem to alleviate the problem. Or a good idea may be rejected or accepted on the basis of who presents the idea. An idea presented by a superior may influence the receiver differently than had a subordinate presented the same idea. Also a good idea, regardless of who presents it, may be rejected because of resentful feelings caused by the way it is presented. For example, a good idea may be rejected because it was presented forcefully and caused resentful feelings or defensiveness.

The content of an idea and the manner in which it is presented influence the initial feeling reaction to an idea. The process of dealing with this reaction, that is, the manner in which it is handled influences the acceptance or rejection of the idea. Sometimes ideas are accepted or

rejected immediately on the basis of the feeling state they arouse in the receiver. This process does not involve any exploration of why the idea is accepted or rejected and may result in good ideas being rejected and poor ones accepted. An alternative process depicted in the model is one of further search and exploration regardless of the feeling state aroused by the idea. This exploratory process may involve questioning as to why one is favorable or unfavorable to an idea (is it the idea content, the manner of presentation or both that is causing the feeling?). It may involve a process of reality testing which is basically considering the idea in practical, concrete terms (will this really solve the problem?). The testing criteria listed previously may be helpful here. This exploratory process may also involve collecting more information before a proper evaluation can be made. The model simply stresses the importance of considering an idea solution fully rather than accepting or rejecting it on the basis of an initial reaction to it.

Solution proposals may also be considered in the context of the force field analysis, *i.e.* in relation to the forces operating "for" and "against" the desired goal state. The question here is "Which alternative is most likely to reduce the 'forces against' and/or increase the 'forces for' in reaching the goal state?" This question is complicated by such factors as time, money and available resources.

An evaluation of all of the alternative solution

proposals should result with an indication of an alternative solution which seems most appropriate to the problem.

These first three steps - problem formulation, generating solution proposals and forecasting and evaluating each solution constitute the pre-action phase of the problem solving process.

The decision making process is obviously important in the problem solving process and perhaps becomes most visible when a decision must be made as to which alternative to implement (not implementing any of the alternatives or taking no action is also a decision). However, the decision making process is seen by the writer as a continuous process throughout all the steps or stages of the problem solving processes and will be considered in a later section.

Action Planning

This stage of the problem solving process involves the development of a detailed plan or course of action. In it must be included some evaluative component, whereby any action steps taken may be evaluated in terms of the client's stated goals. As Schein (1969:51) points out, "This last step should be thought out in advance: what information should we be looking at to determine whether or not our action steps are achieving the desired results?"

Considering how to implement a plan may be treated as an additional or new "problem formulation" statement. The

point here is that each stage of the problem solving process may be returned to several times before action steps are actually taken. For example, a client may realize when evaluating proposed solutions that the real problem was not defined accurately or specifically enough, and would therefore return to the first step of problem formulation (following the sequence of steps), as the overall problem.

Strategy planning is crucial for the successful implementation of a plan. Clients tend to act too hastily and overlook this stage, eager to actually do something about the problem. Schein (1969) notes that the consultant should be careful to slow the client down and to make the client recognize that action planning is itself a problem solving process.

Taking Action Steps

In this stage of the problem solving process, the planned strategy or action steps are implemented. As Kolb (1970:60) notes, "Hitches or problems can usually be traced to unresolved issues in the earlier phases..." This might include a failure in diagnosis or problem formulation, or failure to anticipate all the consequences of the action in the "evaluation of alternatives" stage. If the action steps are deemed as unsuccessful (as measured by a set of pre-determined criteria) the client may well have to start the problem solving process again with this new data. As Kolb (1970:60) points out, "If these errors are not so

great as to disrupt the total change effort, they can become useful 'critical incidents' for learning about the client system."

Many writers stress the opinion that the client should carry out the action steps and not the consultant (Schein, 1969; Beckhard, 1961; Argyris, 1970). The client must assume responsibility for the implementation of his plans. In this manner the client's learning and independence are fostered. This orientation reflects the "process" model of consultation described in chapter II. The client's willingness to assume responsibility for solving his own problem may be part of the criteria established in the contract for the consultant remaining on with the client.

Evaluating Action Taken

Evaluation of the effects of the client's action is essential in enabling the client to modify planned action steps. Data will be needed to determine whether or not progress is being made toward the stated goals. The type of data to be collected should have been determined in the planning stage.

Referring to the force field analysis, evaluation will include the discovery of the forces which are changing, to understand which is accounting for the movement, or lack of it. Such assessment provides an evaluation of progress, a new diagnostic picture, and clarifies the next action steps which need to be taken.

The evaluation process may well surface problems the client was not aware of, *e.g.*, the need for additional skills. New problem statements may have to be formulated and the problem solving process started once more.

Decision Making as Part of the Problem Solving Process

Decision making is an integral part of the problem solving process. It is an aspect of all the steps involved in the problem solving process.

Clients often face difficulty in making effective decisions. The consultant should be aware of the methods of decision making and help the client to assess the advantages and disadvantages of each, in helping them to arrive at a decision making method(s) most appropriate to their needs.

Schein (1969) notes the following methods of decision making. The interested reader may refer to Schein (1969:52 for a more detailed description of each.

- 1, Division by Lack of Response ("Plop")
- 2, Decision by Authority Rule
- 3, Decision by Minority
- 4, Decision by Majority Rule: Voting and/or Polling
- 5, Decisions by Consensus: this means that those members who would not take the majority alternative, nevertheless understand it clearly and are prepared to support it.
- 6, Decision by Unanimous Consent: this means that everyone truly agrees on the course of action

taken - it is complete unanimity.

It is important for a consultant to know about these methods and the client to be aware of the different decision making methods and to learn to choose an appropriate method for the kind of task or decision being dealt with.

Examples of the Problem Solving Process

a, Encouraging the Client to Follow Sequential Problem Solving Steps.

e.g. "It may be helpful to clearly define the problem, before considering more solution proposals."

e.g. "That is a possible consequence of such a proposal but before evaluating the proposals I think that it's important to make sure all the possible solution proposals have come out."

b, Helping the Client Formulate the Problem and Set Goals.

e.g. "It is sometimes helpful to try and distinguish between the symptoms of a problem and the actual problem. Perhaps this would help clarify some of the confusion."

e.g. "What specific goals would have to be reached to alleviate the problem?"

e.g. "You have mentioned several concrete examples of problems you are having. It might be helpful to try to generalize the problem from these incidents."

e.g. "It may be helpful to define the problem more

clearly before considering solution proposals."

c, Encouraging the Client to Explore as Many Alternative Ideas as Possible.

e.g. "We've had three solution proposals now, are there any other ideas?"

e.g. "One possible method is to have one person record the proposals while the other members in the group generate as many ideas as they can. Evaluating the ideas can be done later."

d, Consultant Encourages Client to Evaluate, Test or Forecast the Consequences of Solution Proposals.

e.g. "I think it is important now to consider the advantages and disadvantages of each solution."

e.g. "Have you considered how Mr. X may react to that?"

e.g. "I think that it is important to consider each proposal in terms of the goals you set up previously and the criteria established to measure progress toward these goals."

e, Encouraging the Client to Develop an Action Plan.

e.g. "While you've talked about what you want, you haven't developed a plan to go about it."

f, Encouraging the Client to Develop Criteria to Measure Progress Toward Desired Goals.

e.g. "I think an important part of planning is to include some means by which you can determine later whether or not any action you take is

following your plan and helping you to achieve your goals."

g, Consultant Encourages the Client to Evaluate the Effects of His Action Steps.

e.g. "Is this what you wanted, are you achieving the goals you established earlier?"

Summary

This chapter began by stressing the importance of problem solving and the integral part it has in consultation. The process was defined. The types of problems frequently encountered in consultation were considered and the joint nature of the problem solving process was emphasized as part of a process approach to consultation. A problem solving model was presented as a conceptual aid for integrating the thoughts of various writers in the field and to aid in a systematic discussion of the main activities involved in problem solving. Decision making was considered separately but emphasized as an on-going and integral part of the problem solving process. Specific examples were given of consultant interventions which reflect the problem solving process in operation.

CHAPTER VII

THE EDUCATIVE PROCESS IN CONSULTATION

This chapter begins with a description of the educative process in terms of its appropriateness and importance in consultation. The educational needs of clients are discussed with particular reference to skill development in the areas of problem solving and interpersonal communication. Various educational methods available to a consultant are described, followed by specific examples of interventions which reflect the educative process in operation.

The educative process in consultation involves an interaction between the consultant and client in which the consultant facilitates the client's learning of skills and knowledge in areas that will help him solve not only his present problem but similar problems in the future. Boehm (1956:241) defines consultation itself as "an educational process whereby expertness in knowledge or skill is made available for the purpose of help with the solution of a problem...." There are two important areas where clients often lack knowledge and skills. These are the client's problem solving abilities and the client's interpersonal communication skills. (Schein, 1969; Caplan, 1970.)

Appropriateness of the Educative Process

Clients vary regarding their skill level and resources

and as a result the educative process may assume more importance with some clients than others. A consultant may choose to explore with the client his skill training needs. On the basis of this exploration a contract may be established between the consultant and client to engage themselves in an educative process during the consultation or they may agree for the time being that this educative component of consultation is not appropriate.

The three approaches to consultation described in chapter II, place a different emphasis on the educative process in consultation. The "expert" orientation involves no educative process, the "resource" orientation has an educational component in terms of providing the client relevant information or knowledge concerning the problem, while the "process" orientation emphasizes the need for a client to learn about the processes and skills involved in problem solving.

The remainder of this chapter is described with the assumption that the client and consultant have contracted for the use of the educative process. The consultant's approach then reflects that of the process orientation.

Importance of the Educative Process

The importance of the educative process will be considered in terms of its influence on the client's ability to solve future problems, client dependency, commitment to action plans and the permanence of solutions and on the

client's personal development.

a, Client's Ability to Solve Future Problems

It is through the educative process that the client learns and develops his competence to solve future problems. Caplan (1970:20) underscores this aspect of the educative process in consultation when he states:

Another essential aspect of consultation is that the consultant engages in the activity not only in order to help the consultee with his current work problem...but also in order to add to the consultee's knowledge and to lessen areas of misunderstanding, so that he may be able in the future to deal more effectively on his own with this category of problem. It is this educational aspect of consultation that makes it a community method, since the goal is to spread the application of the specialist's knowledge through the future operations of those who have consulted him in relation to current problems.

In a similar view Koch (1967:203) states that what the consultant does should

...enable someone else to do something. In the end, the consultant is not, himself, going to do whatever it is that must be done on the local scene...the consultant's skill lies essentially in his ability to relate his knowledge [and skills] to the needs of the client in such a way that the knowledge [and skills], in the end, become the client's.

An important aspect of the educative process then is that it is a process which enables a client to solve future problems.

b, Client's Stance Toward Problems

A client may approach a problem in an inactive, reactive or proactive manner. This may be depicted on a continuum.

Inactive	Reactive	Proactive
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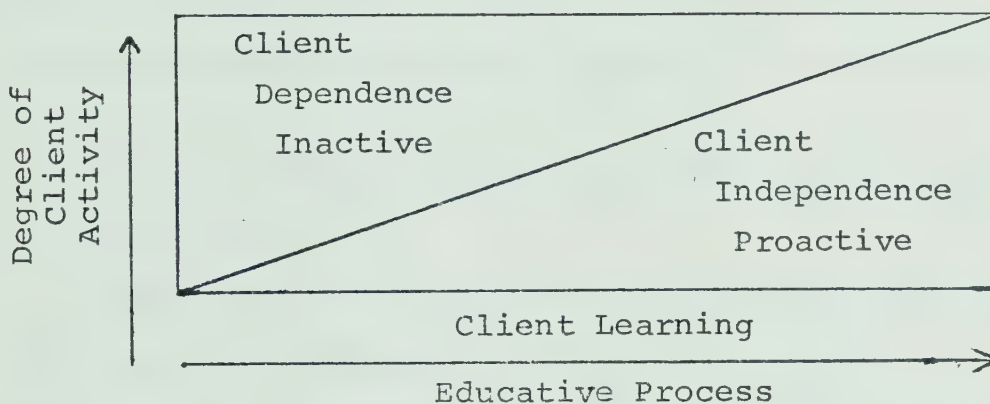
A client who takes an inactive stance on his problem simply takes no action on it. This may be due to a variety of reasons such as lack of motivation, lack of knowledge, lack of skills, etc. A client who takes a reactive stance on his problem will take some action but only when someone else initiates or pressures him to do something. The proactive stance, described by Bonner (1967) is one in which the individual is involved in an active, independent, forward movement. The client who takes a proactive stance on his problem is one who initiates and actively seeks a solution to the problem.

The proactive stance may be described as one in which the client expresses independence while the inactive and reactive stances express dependence.

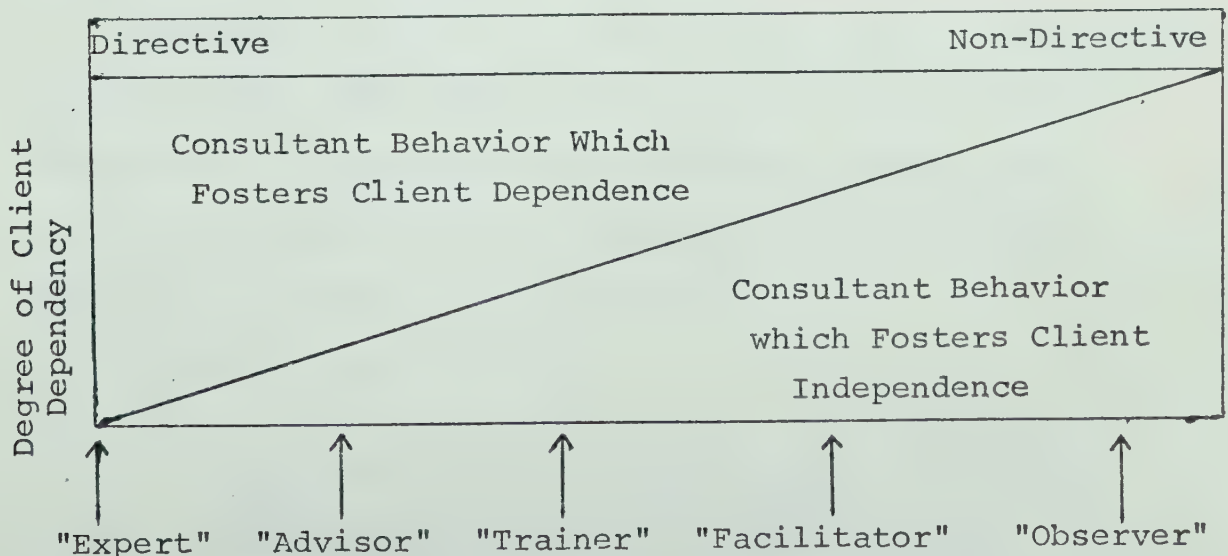
The problems of client dependency on the consultant and the need for the consultant to encourage independent action on the part of the client has been stressed by several writers (Schuttenberg, 1971; R. Lippitt, 1959; Maddux, 1955; Beckhard, 1961; Abramovitz, 1958).

The importance of the educative process is that it is

a process which tends to reduce client dependency, and expand the client's potential for "proactivity". As the consultant encourages the client's active involvement in the consultation and as the client develops his knowledge and skills, he becomes less dependent on the consultant. This aspect of the educative process in consultation may be depicted as follows:



Schuttenberg (1971) notes that the consultant may adopt a consulting style that either fosters client dependence or independence. This may be depicted as follows:



(Adapted from Schuttenberg, 1971.)

It is important for the consultant to consider how his own behaviour affects client dependence and independence. The consultant involved in an educational process with the client would be involved in roles that tended to foster client independence, such as the role of trainer and facilitator as depicted on the above diagram.

The educative process is important then as it can be used to reduce client dependency and facilitate the client's movement toward a proactive stance on his problem.

c, Client's Commitment to Action Plans and the Permanence of Solutions

Schein (1969) states that if the consultant teaches the client to diagnose and remedy situations, that there will be more commitment to the solution of problems and more permanent results. "Problems will stay solved longer and be solved more effectively if the [client] solves his own problems." (Schein, 1969:6).

The educative process requires the active involvement of the client. When the client is actively involved in learning how to solve his own problem he will be more likely to be committed to a plan of action, since he is personally involved in developing it.

As Schein (1969:7) states

The client must learn to see the problem for himself, to share in the diagnosis and to be actively involved in generating a remedy....
If the consultant does all the diagnosis...
it is predictable that a communication gulf

will arise which will make the solution seem irrelevant and/or unpalatable to the client.

The educative process is important then as it facilitates the client's active involvement in the solution to his problem and increases the probability that he will be committed to an action plan and that an effective lasting solution will be obtained.

d, The Client's Personal Development

The client's confidence and personal growth may be enhanced as he becomes more independent and capable of assuming responsibility for solving his own problems and as he learns more about himself and his interpersonal style. Klein and Perlitsh (1964) note that the client may increase his ability to learn and grow in the face of similar or changing circumstances and increase his interpersonal skills. The client, during the course of the consultation may develop not only problem solving and interpersonal skills but new insights into his own personality and potential.

New insights and awarenesses may occur through a variety of learning experiences a consultant may provide for the client. An example of an educative intervention that might lead to a new awareness is that of the consultant giving the client personal feedback about how he experiences the client.

Areas of Education

The educative process should involve those skills or knowledge which the client lacks and which are preventing him from taking action on his problem. The focus of the consultant's educative interventions then will depend on the particular needs of the client. For the purpose of discussion here two major skill areas are considered; problem solving skills and interpersonal communication skills. A discussion of these two skill areas follows.

a, Problem Solving Skills

The need for clients to develop problem solving skills has been emphasized by several writers (Schein, 1969; Argyris, 1970; Caplan, 1970). Wyatt (1972) has recently developed a model of consultation which focuses primarily on the problem solving process. The consultant, as an educator, tries to facilitate the client's learning of problem solving skills.

The consultant may attempt to facilitate the client's learning in several ways:

1. By describing a problem solving model to the client--providing a cognitive map of a problem solving process.
2. By discussing the various factors that influence a problem and their importance, *e.g.*, the client himself (his thoughts, feelings, skills, etc.), the problem, the working environment and the approach used to solve a

problem.

3, By facilitating the client's learning of data collection and diagnostic skills.

4, By helping the client develop his decision making skills.

5, By helping the client learn to develop skills in defining his problem and set goals, developing solution proposals, testing and evaluating the proposals, developing an action plan, taking action steps and evaluating the outcome of action steps taken.

b, Interpersonal Communication Skills

A client's lack of interpersonal communication skills is often a factor causing or aggravating problems dealt with in consultation. Walton (1969) has described a model of "third party consultation" in which the consultant helps two members of an organization deal with their interpersonal conflict. Helping the client to develop communication skills which foster open, effective communication patterns is often a key task of the consultant in dealing with a human relations problem.

The consultant may provide a learning environment where the consultant develops such communication skills as described in Chapter VIII. Skills such as paraphrasing, perception check, behavior description and description of feelings (Wallen, 1968) may be very useful in developing a constructive style of communicating. The consultant may help the client develop skills such as these while they

actually work on the specific problem, or the consultant and client may have "training sessions" apart from the work on the specific problem, or a combination of both.

Educative Methods

The consultant may use a variety of methods to facilitate the educative process in consultation. Some of these methods are listed below.

a, Lecturing - Theory Inputs

Abramovitz (1958) notes that the consultant may, from time to time, accept the role of a lecturer and do various forms of didactic teaching, as well as lead discussions that will open up expression of feelings and attitudes and help to deal with them.

b, Providing Written Information (Handouts)

c, On-the-Spot-Teaching

Gilbert (1960) notes that the consultant may be involved in on-the-spot teaching activities. This is a method in which the consultant utilizes "here and now" experience or information to support or elaborate on a concept or skill he is trying to teach. Examples of on-the-spot teaching are included in the next section.

d, Demonstration Activities

The consultant may use demonstration activities as an educational intervention. For example, Bowman (1959) has

made use of movies, recordings and role playing to demonstrate different approaches to problems with his clients.

e, Process Observation: Stop Action

This is a method which encourages the client to focus his attention away from the task of content of a problem, to the processes or approaches he is using at the time.

Ferguson (1968:191) suggests that the consultant stop or slow down the on-going processes in consultation so that these processes can be analyzed and understood by the client.

The consultant can be a temporary brake... to slow the system (client) down and cause its own intelligence to be directed at assessing its effectiveness, its operation, and its course. To learn from one's own experience one must pause long enough to regard and analyze it.

f, The Consultant as a Model

The consultant may act as a model, expressing behaviors which he believes are effective. The client learns by attempting to imitate some of the consultant's behavior. In one sense everything a consultant does or says is an intervention and therefore the consultant must be careful to behave in ways which are consistent with his own values and philosophy. Argyris (1961) has described cases where consultation has failed and attributes this primarily to the consultants behaving in a manner contrary to their own values and beliefs about effective behavior.

g, Interpersonal Feedback

The consultant may give the client interpersonal feedback on how he is experiencing the client. This information may help the client become more aware of his own style. The learning process is one of self awareness. Increased awareness may help the client see alternative ways of relating which may be more effective.

h, Experiential Learning Environments

The consultant may provide opportunities for the client to be involved in T-groups, simulations, role playing, etc. The intent here is to provide the kind of environment where, if a client wishes, he may learn more about himself and experiment with new behavior or practice new skills.

Examples of the Educative Process

a, Consultant Makes Factual or Theoretical Statements

Intended to Increase the Client's Knowledge.

This type of intervention may place the consultant in the traditional role of a lecturer or teacher.

e.g. "Many studies have shown that a consultant who has the ability to empathize with his client is seen by the client as more helpful than a consultant who has a lesser ability to empathize. There are several skills which seem to help in really understanding a client. Some of these include the skills of paraphrasing, perception check, responding to the feelings of the client..."

- e.g.* "It is important to consider the various factors influencing a problem at one time. For example, the feelings a person has about a problem will influence the problem solving process."
- e.g.* "There are various methods of collecting data about a problem. These may include surveys, questionnaires, interview...."
- e.g.* "There are several ways decisions may be made. They may be made by majority rule, authority rule, a minority, concensus, or simply by a lack of response."

b, On-the-Spot Teaching

- e.g.* "The way I just responded to Bill was an example of a paraphrase. A paraphrase is a way of clarifying a communication...."
- e.g.* "You've just said that John has a negative approach to his work. That is an example of an inference. An alternative you may try is to describe the behavior that leads you to infer that John has a negative approach to his work. Behavior descriptions usually cause less defensiveness than inferential or evaluative statements."
- e.g.* "I noticed while you were working on the problem that only a couple of ideas for a solution were proposed. One method often used to generate a number of solution proposals in a short time is

called brainstorming. Brainstorming is a technique in which ideas are generated with no evaluation or discussion...."

c, Consultant Gives the Client Feedback

1. Interpersonal Feedback: The consultant may reflect on the client's interpersonal style or encourage others to do so in an attempt to have the client explore and learn about himself.

e.g. "I've noticed that you've cut Bill off three times so far. Have you been aware of that?"

2. Group Process Feedback: Process Observation: This refers to feedback that is not intended for one person in particular but for all members of a group to consider.

e.g. "I noticed that when the group was faced with a decision that the topic would change and no decision would be made."

d, Process Observation: Stop Action.

e.g. "One thing you may find helpful is to periodically stop work on the task and to consider whether or not you are using the most effective method of approaching it. This is a technique that can be used by any group. It is a way of monitoring the processes you are using."

e.g. "A consultant may video tape a client group involved in a task and play the tape back to them asking them, for example, to 'write down all of

the behavior you see which is hindering the group from making a decision'."

e, Consultant Provides Opportunities for the Client to Develop his Skills Through an Experiential Learning Process

e.g. "I would like you to form a trio, A, B, and C.

A is to describe some present problem he is working on. B, you are to try and paraphrase A until A is satisfied that you understand him.

C, you are to observe the interaction between A and B and give them your observations when they have completed."

The consultant here has set up an experiential learning environment designed to facilitate the client's learning of an interpersonal skill.

Summary

The educative process was defined as the interaction between the consultant and client in which the consultant facilitates the client's learning of skills and knowledge in areas that will help him solve not only his present problem but similar problems in the future. The appropriateness and importance of the educative process were discussed. The importance of the educative process was viewed in terms of its influence on the client's ability to solve future problems, the client's stance toward problems (issues of dependence and independence), the

client's commitment to action plans and the permanence of solutions and in terms of the client's personal development. Areas in which clients most often need skill development and knowledge were considered with particular reference to problem solving and interpersonal communicative skills. Various educative methods available to the consultant were described, followed by specific examples of interventions which reflect the educative process in operation.

CHAPTER VIII

THE PROCESS OF DEVELOPING RAPPORT

The process of developing and maintaining rapport with the client is a vitally important process in consultation since all other consultation processes are directly influenced by the quality of the consultant-client interaction. This chapter begins by describing the importance of developing rapport with the client. Important dimensions of the "helping relationship" are described. These dimensions include the consultant's belief system, the consultant's behavior and the client's perceptions of the consultant. The latter two dimensions are considered in terms of consultant behavior which tends to be perceived by the client as genuine (authentic, congruent) and empathic (accepting, understanding), that is, behavior which tends to develop and help maintain consultant-client rapport. Specific examples of responses which help develop rapport are given. Consultant behavior which tends to hinder consultant-client rapport is also considered.

The Importance of Developing Rapport

The importance of the interpersonal relationship between the consultant and client has been referred to by several writers. Beckhard (1961:1) states that "The consultative process is always a personal relationship

between a person or persons who are trying to solve a problem or develop a plan and another person or group trying to help these efforts." He states that there are two major aspects to any consultative relationship: the work on the solution of the problem itself and the relationship between the consultant and client. Beckhard (1961:1) states that

The consultant always enters the consultative relationship as a person with authority - achieved either through position or role in the organization or through the possession of specialized knowledge. To achieve an effective consultative relationship it is essential that he understand the nature of this power and develop skills to use it in a way which will be viewed as helpful by the person receiving the help.

In a similar vein Maddux (1955:1426) notes that

Recognition and acceptance of anxious or hostile feelings may be essential to the development of rapport...the emotional interaction between the consultant and client is a prominent determinant of the effectiveness of the relationship, and reactions to the dependency and authority aspects of the relationship are especially characteristic of the emotional responses.

The consultant's skill in dealing with the interpersonal aspects of the consultative relationship is then, of prime importance to the overall effectiveness of the consultation.

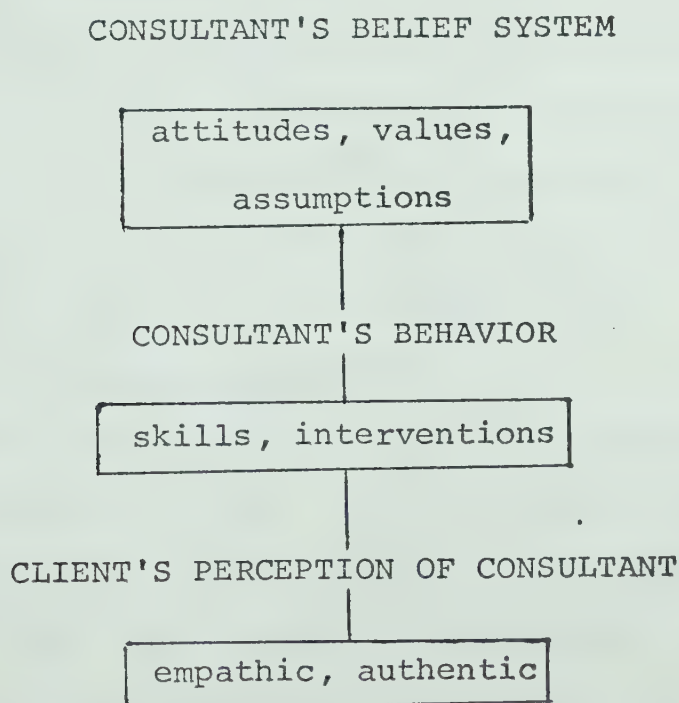
The process of developing rapport is seen by the writer as basically determined by the consultant's interpersonal communication skills. The process of developing rapport is in operation each time the consultant and client interact.

It is a process which underlies and influences all other consultative processes in a continual manner. As such, the communication process (developing rapport), deserves close attention by consultants.

Research on the complex process of developing a "helping" relationship with a client has come largely from the fields of counselling and psychotherapy. A discussion of some of the pertinent findings follows.

Dimensions of the Helping Relationship

The conceptualization of the helping process described in this chapter may be depicted as follows.



The quality of the consultant-client relationship is largely determined by these three aspects of the relationship. A review of the literature on the nature of the

"helping relationship" indicates at least three important dimensions. These may be summarized as follows:

a, The Consultant's Beliefs or Attitudes

Research indicates that there is a correlation between the attitudes or beliefs held by helpers and their effectiveness (Coombs *et al.*, 1969).

b, The Client's Perception of the Consultant

Beckhard (1961:2) states that "The basic characteristic of the helping process is that help is never really help unless and until it is perceived as 'helpful' by the person on the receiving end - regardless of the good intentions of the helper or consultant." It is important then to consider what clients perceive as "helpful" aspects of a relationship. There has been considerable research done in this area. The importance of the client perceiving the consultant as empathic (accepting, understanding) and genuine (congruent, authentic) has been well documented (Rogers, 1958; Barrett-Lennard, 1963; Carkhuff, 1968; Jenkins, 1958).

c, The Consultant's Behavior

The consultant's behavior obviously influences the client's perception of him. It is important therefore that the consultant have empathic abilities or skills and that he behave in ways that are seen as genuine by the client. For most people this requires developing certain interpersonal skills, some of which are outlined in this chapter.

The Consultant's Belief System

The beliefs people hold influence the way they behave. Recent studies have suggested that effective helpers hold certain beliefs. Coombs *et al.* (1969) studied the belief system of those in various helping professions (teachers, counselors, nurses, professors, priests) and found that effective helpers in these fields apparently have certain beliefs in common. The writer is assuming that effective consultants hold similar beliefs to others in the above mentioned helping professions. Following is a summary of some of the findings. Some of the beliefs outlined were not studied for every helping profession mentioned above and therefore each finding is presented with an indication of the profession involved.

a, Beliefs About What People Are Like

Effective Helpers:

- 1, Believe that clients are able -- capable of solving their problems as opposed to doubting their capacity to handle themselves and their lives.
(Teachers, counselors, priests, professors.)
- 2, Believe that people are friendly -- well-intentioned rather than evil-intentioned. (Teachers, counselors.)
- 3, Believe that others are worthy and possessing dignity and integrity which must be respected and maintained. (Teachers, counselors, professors.)

4, Believe that people are internally motivated rather than externally. They see people as creative and dynamic rather than passive or inert. (Teachers, professors.)

5, Believe that people are dependable -- that the behavior of people is understandable rather than unpredictable or negative. (Teachers, counselors, professors.)

b, Helpers' Beliefs about Himself

Effective Helpers:

1, See themselves as identified with people rather than as withdrawn, apart or alienated from others.

(Teachers, counselors, priests.)

2, Feel basically adequate rather than inadequate.

(Teachers, counselors.)

3, Feel trustworthy, dependable, reliable. (Teachers.)

4, See themselves as wanted, likeable and in general capable of bringing forth a warm response in those people important to them. This is opposed to feeling ignored, unwanted or rejected by others.

(Teachers.)

5, See themselves as worthy -- as people of consequence, dignity, integrity and worthy of respect as opposed to being of little consequence who can be overlooked and whose dignity and respect do not matter.

(Teachers.)

c, Helpers' Beliefs Concerning their Purpose

Effective Helpers:

- 1, Perceive their task as one of freeing rather than controlling people. Assisting, releasing, facilitating versus controlling, manipulating, inhibiting behavior. (Teachers, counselors, priests.)
- 2, Tend to be more concerned with larger issues than smaller issues. (Teachers, counselors.)
- 3, Are more likely to be self-revealing than self-concealing. They are willing to disclose more of themselves. (Teachers, counselors.)
- 4, Tend to be personally involved with rather than alienated from the people they work with. (Teachers, priests.)
- 5, Are more process-oriented than goal oriented. They seem to see their appropriate role as one of encouraging the process of search and discovery as opposed to promoting or working toward a personal goal or preconceived solution. (Teachers.)

d, Helpers' Beliefs Concerning Approaches to the Task

Effective Helpers:

- 1, Are more directed toward people than things -- their orientation is human rather than with objects, events, rules, regulations, etc. (Teachers, counselors, priests.)
- 2, Are more likely to approach their clients subjectively than objectively. They are more concerned

with the perceptual experience of their subjects than with the objective facts. (Counselors and teachers.)

The Clients' Perceptions of the Consultant

The clients' thoughts, feelings and experience of the consultant affect the helpfulness of the relationship. As Beckhard (1961:2) notes, "help is never really help unless and until it is perceived as 'helpful' by the person on the receiving end - regardless of the good intentions of the helper or consultant." Research indicates that effective helping relationships require that the client perceive the helper as being empathic (Rogers, 1958; Barret-Lennard, 1963; Carkhuff, 1969) and genuine (Rogers, 1968; Carkhuff, 1969). The writer has used the concept of empathy to include other similar concepts such as understanding, acceptance (Jenkins, 1958), positive regard (Rogers, 1958) and respect (Barrett-Lennard, 1963; Rogers, 1958). Genuineness is used here to include the concepts of congruence (Rogers, 1958; Barrett-Lennard, 1963) and openness or self-disclosure (Jourard, 1964).

Empathy refers to the helper's ability to put himself in the client's position, to understand and accept him and to communicate this sense of understanding and acceptance to him. While empathic abilities help the consultant to understand the client, genuineness helps the client to understand the consultant as a person. Genuineness may be

defined as behaving in accordance with one's values, beliefs, and feelings.

The following section describes and gives specific examples of consultant responses which tend to communicate a sense of empathy and genuineness to the client.

The Consultant's Behavior

It has been noted that the consultant's behavior influences the client's perception of him. This section deals with the consultant's verbal communication style, a major factor influencing rapport.

a, Empathic Skill Building

The following types of responses tend to communicate a sense of empathy. These responses have been described by Richards (1969) and Wallen (1968).

1, Identification -- Showing that you feel the same way when you really do.

e.g. "I know how you feel, I went through the same thing last year."

2, Awareness -- Naming or stating the other person's feelings to show that you heard.

e.g. "I can sure see why you feel angry with your boss."

3, Acceptance and Understanding -- Communicating to the other person that it is all right to have his own feelings.

e.g. "I can certainly understand how you feel, I don't

blame you."

- 4, Reflecting -- Mirroring the feelings and content messages of the other person so he can see them. Rogers (1958) and Carkhuff (1969) emphasize the importance of reflecting not only the content of a message, but also the feelings being expressed by the client.

e.g. Client: "I just can't seem to get along with John. He always expects too much from me -- I just get tied up in knots. I just don't know what to do."

Consultant: "It's frustrating not being able to be yourself (response to feelings)."

- 5, Acknowledgement and Checking -- Wallen (1968) emphasizes the importance of letting the speaker know you have heard him (acknowledging) and comparing your understanding against his for accuracy (checking). Wallen (1968) describes two communication skills for this purpose.

- i) Paraphrase: (Concern with ideas and suggestions.) Letting the other know what meaning his statements evoke in you.

e.g. "Do you mean...(Statement)...?"

"Is this...(Statement)...an accurate understanding of your idea?"

"Would this be an example of what you mean?"

(Giving a specific example.) (Wallen, 1968b)

ii) Perception Check: (Concern with the person, his feelings.) Describing what you perceive the other feels -- tentatively and without evaluating him.

e.g. "I get the impression you'd rather not talk about this. Is that so?" "You were disappointed that they did not ask you?" "You look like you felt hurt by my comment. Did you?" (Wallen, 1968c)

6, Describing Versus Labelling, Inferring -- Wallen (1968d) stresses the importance of sending communications which are free of inferences, accusations, evaluations or generalizations about the other person's motives, attitudes or personality traits. Wallen (1968d) describes a skill for this purpose called "behavior description." This skill involves describing specific, observable actions of others rather than stating inferences, accusations or generalizations about their motives, attitudes or personality traits.

e.g. "You bumped my cup." rather than "You never watch where you're going."

"Jim and Bill have done most of the talking and the rest of us have said very little." rather than "Jim and Bill just have to hop the spotlight."

7, Role Playing -- Role playing of various kinds may

be used to increase one's understanding of another. One form of role playing is called role reversal. The consultant may ask the client to change roles with him, *i.e.*, the consultant becomes the client and vice versa. This may help the consultant to understand the client's position -- it forces him to think in terms of his client. It also gives the client an opportunity to correct any incorrect perceptions the consultant may have of him.

b, Genuineness

While empathic skills help the consultant to understand the client as a person and convey understanding to him, genuineness helps the client to understand the consultant as a person. Genuineness or authenticity may include the following behavior.

1. Directly Reporting One's Own Feelings -- Wallen

(1968a) describes this skill as follows. Description of Feelings: Identifying your feelings by (i) name, (ii) simile, (iii) action urge and conveying it as information about your inner state and not as an accusation or coercive demand against the other.

e.g. "I felt hurt when you ignored my comment." rather than "You're rude!"

"I feel hurt and embarrassed." rather than "You just put me down!"

"I'm disappointed that you forgot." rather than

"You don't care about me!"

"I'm too angry to listen to any more now." rather than "Get the hell out!"

2. Behaving in Ways that are Congruent With One's Values -- Argyris (1961) indicates that consultants are often placed in a value choice dilemma when working with their clients and illustrates the problems encountered by consultants when they behave in ways inconsistent with their own values. An analysis of two case studies (Argyris, 1961:131) showed that

The consultant's values emphasize openness, self-awareness, self-acceptance, and emotionality, while the client's emphasized diplomacy, subordination, dependence and rationality. These basic differences forced the consultant into continual conflict choice situations. In most cases, we have seen, the consultant's values were subordinated to the clients. The former became increasingly nonauthentic which pleased the clients but prevented the consultant from providing the degree of help of which he is capable."

c, Behaviors Which Hinder Empathy and Genuineness

Wallen (1965b) considers the following type of responses to decrease the possibility of a client perceiving the helper as empathic and genuine.

1. Changing the subject without explanation
e.g. To avoid the other's feelings.
2. Explaining the other, interpreting his behavior
 "You do that because your mother always..."

Binds him to past behavior or may be seen as an effort to get him to change.

3. Advise and persuasion

"What you should do is...!"

4. Vigorous agreement

Binds him to present position -- limits his changing his mind.

5. Expectations

Binds to past -- "You never did this before.

What's wrong?" Or cues him to future action --

"I'm sure you will...." "I know you can do it."

6. Denying his feelings

"You don't really mean that!" "You have no reason to feel that way!" Generalizations like "Everybody has problems like that."

7. Disapproval on personal grounds

Blaming or censuring the other for thinking, acting, and feeling in ways you do not want him to. Imputing unworthy motives to him.

8. Commands, orders

Telling the other what to do. Includes, "Tell me what to do."

9. Emotional obligations

Control through arousing feelings of shame and inferiority. "How can you do this to me when I have done so much for you."

Other hindering responses have been described by

Richards (1969).

10. Threatening or punishing

A response that may indicate that dire consequences will result if the other person does not change or accept the advice and persuasion that are being given to him. "If they find out what you've done, you'll be in real trouble."

11. Ridiculing or belittling

Making a person feel small or foolish. It may be intentional or unintentional. "I've simplified this so much, I think even you can do it."

12. Minimizing

Telling a person that his problem is not important or that it will go away. "I imagine everything will work out all right I wouldn't worry about it."

Summary

This chapter focused on the interpersonal relationship between the consultant and client in terms of the process of developing and maintaining rapport. The importance of the process was emphasized. Three dimensions of the helping relationship were described and related to the process of developing rapport. These dimensions included the consultant's belief system, the consultant's behavior and the client's perception of the consultant. The importance of the consultant conveying a sense of empathy and

genuineness to the client was discussed. Descriptions and specific examples were given of consultant responses which tend to communicate a sense of empathy and genuineness to the client. Finally, behaviors which tend to hinder empathy and genuineness were considered.

CHAPTER IX

CONSULTATION SKILLS WORKSHOP

This chapter describes the design, implementation and results of a three day consultation skills workshop. The model of consultation described in Chapters IV-VIII was introduced to the participants and used in several ways. Data were collected to measure attitudinal and behavioral changes as a result of the workshop. The data provide a preliminary investigation (a pilot project) into the use of the model of consultation for training purposes. The methodology of obtaining the data, and the preliminary results of the data collected are described. Concluding comments are made concerning the use of the model for training purposes and suggestions are made for future research.

Objectives of the Workshop

The objectives of the workshop were outlined in a letter introducing the workshop to perspective participants (see Appendix A). The objectives were stated as follows:

This workshop will focus on developing consultation skills for working with individual clients or with client systems who bring a back-home problem to the consultant. As examples: a member of the community league asks for help with poor attendance at meetings; a manager in a public organization asks for help in

understanding a conflict with one or several co-workers; a 'normal' woman asks for help with problems in her family.

It is hoped that participants will leave the workshop with a more systematic, integrated approach to consultation and with some practice sessions under their belt. It is also a goal that participants re-examine their values and develop new methods of implementing these values.

In addition to these learning goals for the participants, an additional objective was to collect data from the participants as a pilot project in assessing the learning environment and the use of the model consultation for training.

Educative Methods Used in the Workshop

The workshop will focus on simulated consultations (participants will present real back-home problems to other participants who play the role of consultant). Video-feedback will be used to take a close look at the simulated role plays. The staff and participants will give direct interpersonal feedback to the role players and will together develop a conceptual approach to consultation. A model of consultation developed by the staff will also be presented and utilized directly in analyzing video-tapes. Values and methods of consultation will be explicitly examined and practiced. (see Appendix A)

Staff and Participants

The workshop was composed of six staff members and twenty participants. While all staff members had consulting experience, only two staff members were familiar with

the model of consultation to be used in the workshop. The other four staff members acted as "experienced learners" and were involved in the workshop activities like any other participant, in addition to their staff duties. This arrangement allowed the writer to collect data from the experienced staff group (here on referred to as ESG) as well as the participant group (PG) and to compare the two groups.

Experimental Design of the Workshop

a, Objectives

The experimental aspect of the workshop had the following objectives:

1. To measure attitudes toward three models or approaches to consultation - the expert consultant, the resource consultant, and the process consultant.
2. To measure any attitudinal change as a result of the workshop.
3. To compare the ESG with the PG on the above measures.
4. To measure any behavioral change in the PG as a result of the workshop.

The methods of achieving these goals are described in the following section.

b, Methodology

An unstructured attitude survey was used to accomplish

the first three experimental goals (see Appendix B). This attitude survey was designed to determine which model of consultation was preferred by the respondents. Each model of consultation involves a different consulting style and value system.

The attitude survey was administered as a pre and post test, and was taken by the ESG and the PG. The order in which the models were presented on the survey were varied. This was to ensure that the order in which the respondent replied to each model, would not influence the results.

The third objective, that of measuring any behavioral change, was accomplished by audio-taping all simulated role plays of consultant-client sessions. These tapes were recorded in a pre-post manner. That is, taping was done in two sessions; one early in the workshop before any staff inputs were made and a taping session late in the workshop, after various inputs had been made. Behavioral change was to be measured by scoring the tapes using the model of consultation outlined in chapters IV-VIII. Due to time limitations, not all of the ESG or PG played the role of a consultant in both the pre and post tape sessions. All of the ESG and PG members did act as consultants in one of the two taping sessions.

No control group was used in this pilot project and all participants were exposed to the same learning activities, *i.e.* there were no different treatment groups.

Following is a description of the activities introduced

between pre and post testing.

c, Workshop Activities

The main activities introduced between pre and post testing included:

1. Introduction of the Consultation Model. The model was introduced by having the participants read a handout (compiled by the writer) which outlined the processes involved in the model (contracting, data collecting, educating, problem solving, and developing rapport) and which gave specific examples of these processes in operation (see Appendix C). A brief discussion of the model followed, to clarify any points not understood.
2. Analyzing Video-Taped Simulated Consultation Sessions Using the Model. In addition to being audio-taped, half of the pre-post taping sessions included the use of video. Video tapes from the pre-taping session were utilized by having the participants observe each response a consultant made and then scoring it according to the processes outlined in the model.
3. Introduction of Two Handouts Entitled "Characteristics and Models of Consultation" and "Approaches to Consultation and Their Effects". These were available to participants but were not discussed during the workshop (see Appendix C and D). In addition

to defining consultation, these handouts describe the models of consultation outlined in the attitude survey form. The models are described in terms of their focus, their probable impact on the client and their appropriateness in various situations.

4. Feedback. After a consultant-client role play, the consultant was given feedback on his style by other participants who were observing and by the ESG member also acting as an observer. The PG group was divided into four sub-groups with an ESG member in each. All simulations were conducted in this context.
5. Goal Setting Exercise. Before post-taping sessions started, the PG were asked to write down their goals for their second practice session. They were asked to consider their style in terms of the feedback they had received, in terms of the consultation model presented, the analysis of videotapes and in terms of the written material provided. For example, a participant may have become aware that he did no contracting with the client. One of his goals might have been to start off the next session by establishing with the client a way of working together that is satisfying to both parties.

Following is an overview of the three day workshop.

Outline of the Consultation Skills Workshop

First Day

- 9:00 a.m. - introduction to workshop
 - outline of three days
 - clarifying expectations
- 9:20 - attitude survey administered
- 10:00 - four groups formed (A,B,C,D)
 - one ESG member in each group
 - task: 45 minutes - prepare a 3 minute presentation on "the correct approach to consultation".
- 11:00 - presentations
- 1:00 p.m. - individuals asked to prepare notes on two back-home problems
 - problems posted by volunteers
 - consultants pick situation they would like to work (voluntary)
 - simulation consists of consultant-client pairs
- 2:00 - simulated sessions begin in all groups:
 - four groups audio-taped two of these also video-taped
 - each session - maximum 1/2 hour
 - 15 minute feedback session to consultant from PG members and ESG member
- 4:00 - assemble in large group
 - overview of next day's activity

Second Day

- 9:00 a.m. - continue simulated consultation sessions
- 10:30 - introduction of consultation model and
brief discussion of model
- 11:00 - analyzing-scoring video-tapes using model
of consultation
- 11:45 - handouts - "Characteristics and Models of
Consultation" and "Approaches to Consult-
ation and Their Effects" are made available
- 1:00 p.m. - continue scoring tapes
- 2:00 - goal setting exercise (individual)
- pair off and discuss goals
- 2:30 - pairs have 15 minutes to practice new
responses
- 2:45 - back to four groups - second taping session
begins (post tape)
- simulated consultation sessions plus feed-
back to consultant
- 4:00 - assemble in large group
- overview of next day's activities

Third Day

- 9:00 a.m. - continue simulated consultation sessions
until 12:00 a.m.
- 1:00 p.m. - continue simulated consultation sessions
- 2:00 - attitude survey administered - post test
- 2:30 - task - 30 minutes

- each group asked to summarize learnings from the Workshop and give a short presentation
- 3:00 - presentation
- debriefing of Workshop
- back-home application of learning

Discussion of Results

a, The Attitude Survey Form

Eighteen pre-post attitude surveys were utilized in scoring, including four from the ESG. Statistical measures were taken using the Chi-square test (Siegel, 1956) to determine

1. PG's preferences (attitudes) for the process, resource and expert approaches to consultation,
2. to measure any attitude shift from pre-post testing regarding the three approaches to consultation,
3. to compare the PG and ESG on the above measures.

Preferences for the approaches to consultation were determined by the proportion of total comments "for" a particular approach to the number "against". This procedure yields the raw numbers for use in the Chi-square test.

The following table presents the PG's preferences for the three approaches to consultation.

Preference for	χ^2	df=1	Level of significance	
Process over Expert	8.27		<.01	
Process over Resource	1.85		<.20	n.s.
Resource over Expert	1.77		<.20	n.s.

From this table it can be seen that for the PG there was,

- 1, preference for the process model over the expert model, significant at the .01 level,
- 2, no significant preference for the process model over the resource model,
- 3, no significant preference for the resource model over the expert model.

Further analysis yielded the following results:

- 4, the above findings were similar for both the PG and ESG
- 5, no significant attitude shift from pre-post testing for either the PG or ESG.

These findings indicate that both the PG and ESG prefer the process model over the expert model and that this preference stayed constant during the workshop. The workshop itself did not cause any significant attitude change in either group. One may speculate several reasons for this:

1. Several people expressed difficulty and confusion over filling out the survey and were not sure that they were doing what was asked for.
2. The three models were not discussed during the workshop. Not all of the participants read the handouts describing these models.
3. The participants already had a clear conceptualization of the models before coming to the workshop

and had "established" attitudes toward them.

4. The workshop time period was too short to expect a change in attitudes.
5. The workshop did not focus on the various value orientations of the consultant nor on the impact of various models of consultation on the client. It was assumed that an attitude shift may come about through a self-discovery process, an assumption which may not have been accurate.

b, Analysis of Pre-Post Tapes

Thirty four simulations were taped during the workshop. Seventeen of these were pre-tapes and seventeen post-tapes. Each simulated consultation session took from fifteen to thirty minutes to complete.

The tapes were to be scored by categorizing each consultant intervention into one of the five processes outlined in the model. It soon became apparent that this scoring system would not yield a high enough inter-rater reliability. The problem appeared to be that one intervention could sometimes be categorized into any one of two or three of the processes. That is, the categories for scoring did not seem to be exclusive.

Further analysis and study led to the conclusion that the process of "developing rapport" is one that underlies all of the other processes. Developing rapport was seen as basically a communication system or language system which

influences the other four processes. For example, a consultant may give a client some interpersonal feedback (an educative intervention) but he may do it in a punishing or threatening manner. The consultant's style of communicating was seen as the main factor involved in developing rapport and a factor which determined how well the other processes (data collecting, educating, contracting and problem solving) were carried out.

There appeared to be a need then to develop a scoring system to illustrate the consultant's communication style. Such a scoring system is presently being developed by the writer.

It was felt that the remaining four categories could still be used to score the tapes by modifying the scoring procedure. Rather than using each consultant intervention as the unit of analysis, the tapes could be scored as a whole and an "impressionistic" score given to each tape. A scale such as the following could be used.



Each tape could be scored by using this scale for each of the four categories. For example, a tape could be scored as contracting - none, data collecting - much, educating - little, problem solving - some. The unit of analysis would be the whole session rather than each intervention.

The scoring system for the consultant's communication style (developing rapport) could be scored intervention by

intervention.

Both of these scoring systems could be used to analyze the tapes. One system would provide an indicator of the range of processes used and the amount of their use while the other system would provide a separate score illustrating the consultant's communication style, which is seen by the writer as the main variable affecting rapport.

The two scoring systems are presently being refined and tested.

Initial scoring of the tapes then yields the following information:

- 1, It was difficult to analyze the tapes using only the processes initially outlined in the model.
- 2, The consultant's communication style seemed to be the main factor in developing rapport and this communication or language system seemed to underlie the other four processes. Developing rapport was no longer viewed as an exclusive process.
- 3, The remaining four processes could best be utilized by considering the range of processes used and the degree of their use, in a consultation session. An impressionistic scoring system, using the whole tape as the unit of analysis was seen as the most effective scoring system.
- 4, A separate scoring system needed to be developed to illustrate the consultant's communication style - a measure which would reflect the degree to which

the consultant hindered or fostered rapport with the client.

Conclusions

While there is as yet no empirical evidence to support the usefulness of the model of consultation, it is the writer's belief that the model is useful not only in helping learners and practitioners to conceptualize what they are doing and to examine their own styles but also in providing specific "hows" or examples of ways in which the consultative processes may be operationalized. Most participants were very enthusiastic about the workshop and several commented that they now had a conceptual framework of consultation and could examine their own behavior within this framework. Several participants also commented that they had viewed consultation as basically a problem solving process but could now see the importance of the other four processes - the problem solving process seemed to be perceived for many, from a new perspective.

On the basis of this first workshop using the model several ideas for future workshops come to mind.

a, Consultant-client simulations could be video taped to represent three different approaches to consultation - that of the expert, resource and process approaches. These video tapes could be used as an educative method to illustrate these three basic approaches to consultation.

- b, Video tapes could be prepared which show the consultant engaged primarily in one of the consultative processes outlined in the model. These tapes could be shown to participants as an introduction to the model, prior to their own practice sessions.
- c, The consultant's interpersonal communication skills are of such importance that a consultation skills workshop may begin with skill development in this area, unless these skills are already developed. The basic point is that no other consultative processes can be carried out effectively until the consultant has some measure of competence in interpersonal communication skills. A scoring system such as that being developed by the writer could be used to help a participant examine his own interpersonal communication style and to illustrate alternative ways of relating interpersonally.
- d, The following ideas are put forth as suggestions for future research.
1. There is a great need for research in the area of consultation skill training. Various training programs could be evaluated by measuring both attitudinal and behavioral changes in a pre-post manner. A study recently conducted by Wyatt (1972) evaluates a consultation skill training program. More research of this kind is needed to help design more effective training programs.
 2. Various methods of using the model described in this

thesis could be implemented in a training situation. Data could be collected from groups exposed to different treatments to determine which method proves the most effective in terms of the participant's behavior and/or attitude change. For example, videotape feedback could be used with one group while another is only exposed to the model through a didactic teaching process.

3. It is felt that future research with the model described in this thesis should involve the use of two separate scoring systems, both of which could be scored by the participants themselves. The consultant's interventions could be scored one at a time and categorized in terms of a system which depicts the degree to which they facilitate or hinder rapport. In addition to this specific analysis of the consultant's communication style, another score could be given which measures the degree of use of the data collecting, contracting, problem solving and educative processes.

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APPENDICES

APPENDIX A

MAY WORKSHOP

THEME:- Developing Consultation Skills

Objectives: This workshop will focus on developing consultation skills for working with individual clients or with client systems who bring a back-home problem to the consultant. As examples: a member of the community league asks for help with poor attendance at meetings; a manager in a public organization asks for help in understanding a conflict with one or several co-workers; a 'normal' woman asks for help with problems in her family.

The focus is not on the therapeutic relationship, although there are some obvious connections.

It is hoped that participants will leave the workshop with a more systematic, integrated approach to consultation and with some practice sessions under their belt. It is also a goal that participants re-examine their values and develop new methods of implementing these values.

Methods: The workshop will focus on simulated consultations (participants will present real back-home problems to other participants who play the role of consultant). Video-feedback will be used to take a close look at the simulated role plays. The staff and participants will give direct interpersonal feedback to the role players and will together develop a conceptual approach to consultation. A model of consultation developed by the staff will also be presented and utilized directly in analyzing video-tapes. Values and methods of consultation will be explicitly examined and practiced.

Attendance: Participants should have experience in non-therapeutic consultation. It will be helpful, but not necessary for participants to have a communications skills lab background (e.g. Wallen skills) or a T-Group experience. Enrolment will be limited to twenty participants.

Risk: Most interpersonal feedback will be role-related (e.g., how one is seen in the role play as consultant) and thus less stressful and

threatening than, say, T-Group personality-related feedback. However, participants should be aware that they attend this workshop on a voluntary basis and should assess the risk level that the workshop may entail for themselves. People who would be hesitant in viewing themselves on videotape and in receiving feedback should not register.

Staff:

In keeping with our wish to use qualified staff from the local community, staff for this workshop will include....

APPENDIX B

Number: _____

On the following page are three approaches to consultation. During the next twenty minutes, we would like you to write down all thoughts that occur to you that are pertinent to forming and expressing an opinion on each of these three approaches.

These thoughts may consist of:

- a) Information which is favorable or unfavorable to an approach.
- b) Personal values of yours that are favorable or unfavorable to an approach.
- c) Features of an approach that you perceive as good or bad.
- d) Any other thoughts that you feel to be pertinent.

In writing down these thoughts, please observe the following procedures.

1. Separate your thoughts into individual ideas to be written down separately. An "individual idea" is one that, to the best of your judgement, expresses only a single fact, value, good or bad feature, or thought.
2. Express each of these ideas in clear language so that it is both legible and intelligible to someone who would read it.
3. Use the numbered spaces on the following pages, using only one numbered space per idea.
4. Write down as many pertinent ideas as occur to you. Use the full 20-minute period allotted.

PLEASE START NOW, WRITING DOWN YOUR IDEAS PERTINENT TO FORMING AN OPINION ON THE THREE APPROACHES TO CONSULTATION.

PLEASE GO ON TO THE NEXT PAGE

- I. The client presents a specific problem to the consultant who analyses the problem and presents the client with recommendations for its solution. The consultant is generally an expert in the problem area and utilizes his specialized knowledge and skills to solve the problem. The client is seen as lacking the skills and/or time necessary to arrive at a solution himself.

1.

2.

3.

4.

5.

6.

7.

8.

9.

10.

11.

II. The client presents a specific problem to the consultant who provides relevant information to help the client find a solution. The consultant is generally an expert in the problem area and utilizes his specialized knowledge to lend to the solution of the problem. The client is seen as lacking the expertise necessary to arrive at a solution himself.

1.

2.

3.

4.

5.

6.

7.

8.

9.

10.

11.

III. The client presents a specific problem to the consultant who guides the client in the process of finding a solution. The consultant is generally an expert in behavioral sciences and utilizes his specialized knowledge to assist the client in improving his ongoing problem skills. The client is seen as lacking problem solving skills necessary to arrive at a solution himself.

1. _____

2. _____

3. _____

4. _____

5. _____

6. _____

7. _____

8. _____

9. _____

10. _____

11. _____

BEFORE TURNING PAGE - PLEASE WAIT FOR FURTHER INSTRUCTIONS

It will help us to analyze the ideas you wrote down earlier if you will indicate which side of the issue under consideration you feel each one supports. Do this by writing the appropriate symbols (defined below) in the spaces on this page next to the number of each idea. An idea that is favorable to an approach should be given an "F" ("for" the approach,); one that opposes an approach should be noted by an "A" ("against" the approach). In addition, use the numbers 1, 2, and 3 to indicate the amount of support given, standing for slight, moderate and strong support, respectively. That is, an idea that strongly favors an approach should be noted "F3"; one that moderately opposes an approach would be indicated "A2". An idea that does not favor one side or the other, or which supports both equally, should be noted "A1-F1". Look back now to the ideas you wrote down, and as you read over each one, put the appropriate symbol in the space on this page for that idea. Make sure that you use one of the symbols F1, F2, F3, A1, A2, A3 or A1-F1 for each of the ideas you previously wrote down.

I.	II.	III.
1. _____	1. _____	1. _____
2. _____	2. _____	2. _____
3. _____	3. _____	3. _____
4. _____	4. _____	4. _____
5. _____	5. _____	5. _____
6. _____	6. _____	6. _____
7. _____	7. _____	7. _____
8. _____	8. _____	8. _____
9. _____	9. _____	9. _____
10. _____	10. _____	10. _____
11. _____	11. _____	11. _____

APPENDIX C

Consultation Processes

A distinction can be made between the specific problem dealt with in consultation, that is the content of the problem, and the approaches or processes involved in solving the problem. Both the content of the problem and the processes involved in solving the problem are important for the consultant to consider. This paper is intended to introduce the reader to several important processes involved in consultation.

Five important consultation processes are: contracting, data collecting, problem solving, educating and developing rapport with the client. Each process involves the consultant in different activities. For example, the consultant may ask the client questions concerning his background and training, issue questionnaires or conduct interviews as part of the data collection process.

While all of the processes mentioned may not occur during a single consultation, they help to illustrate the types of activities a consultant may choose to engage in.

The consultation processes to be described do not occur in any sequential pattern during the consultation but should be seen as on-going process throughout the consultation.

A brief description of each process, followed by some examples of activities involved in the process, will be provided on separate sheets of paper.

The Contracting Process in Consultation

The contracting process in consultation refers to the interaction between the consultant and client in which both parties attempt to share and clarify their goals, roles, and expectations of the consultation relationship. This interaction typically involves the consultant and client negotiating - trying to determine how they might work most effectively together in satisfying both the clients' and consultants' needs. The result of this negotiating process is often called a "contract", which basically describes the main guidelines for the consultation relationship.

A contract may be an informal verbal agreement or it may be a more specific written agreement. Following is a list of areas that may be explored by the consultant during the contracting process. Discussion in these areas may form the basis of a consultation contract.

1. The consultant's and client's goals for the consultation.
2. The nature of the consultant-client relationship.
3. Expected benefits for the client.
4. Expected benefits for the consultant.
5. Broad mode of approach to the problem.
6. Conditions for terminating the relationship.
7. Ability of one party to influence the other.
8. Expectations that consultant and client have of each other.
9. The kinds of help that are acceptable to both.
10. The kinds of activities that will be undertaken and who will be involved in them.
11. Expected time duration of the consultation, frequency of consultations, and method of payment.

In addition to these areas, which may be of major importance to the contract, the consultant and client may be involved in smaller, more specific, on-the-spot agreements. For example, a consultant may say:

"I have an exercise here which helps to develop

problem solving skills. Is this something you would want to try?"

Agreements of this nature are part of the contracting process although they may not form a significant part of the consultation contract.

Examples of the Contracting Process

1. The Consultant Conveys His Own Ideas or Feelings Concerning the Nature of the Consultation Relationship.

e.g., One of my goals is that you will develop the skills necessary to be able to solve this problem yourself and hopefully any other similar problems in the future. These skills may be in the areas of problem solving, data collecting, and establishing effective interpersonal relationships.

2. Consultant Encourages the Client to Share His Ideas and Feelings Concerning the Nature of the Consultation Relationship.

e.g., It's important for me to know what you are expecting of me as a consultant.

3. Consultant Contracts for Specific Types of Interventions (Behaviors) as an On-Going, On-the-Spot Process.

e.g., I would like you to stop the task now and think about the method you are using in approaching the problem. O.K.?

4. Consultant Checks to Ensure that the Contract is Understood and is Still Satisfactory to the Client.

e.g., We've worked together for two days now. Is the approach we've been taking working alright for you?

The Data Collection Process

The goal of the data collection process is to generate valid information concerning the client, his problem, his working environment and on the interaction between consultant and client, such that maximum use is made of all available resources and informed choices may be made by the client and consultant.

The data collection process is an ongoing process throughout the consultation. Even if data is not deliberately gathered, each encounter between consultant and client provides new information. Information collected may be historical or it may be more of a "here and now" nature.

What kind of information should the consultant consider gathering? Following are some areas a consultant may wish to explore. The following list may be used as a checklist to ensure that relevant information is obtained.

1. Data Concerning the Client

- Client's:
- background
 - perception of the problem
 - resources - skills, experience, intellectual capacity, etc.
 - value system, attitudes, needs
 - motivation, commitment
 - interpersonal style (dependent, independent, etc.)
 - strengths and weaknesses
 - "here and now" thoughts and feelings
 - non verbal behavior

II. The Client's Problem

- historical roots of the problem
- size and nature of the problem
- symptoms of the problem
- a behavioral description of the problem

III. The Client's Working Environment

- client's position (power, status, etc.)
in relation to others
- the "givens" of the client's environment - those aspects of a

- client's environment that are not possible to change
- environmental factors which contribute to the problem and those which may help to solve the problem
- areas of stress or conflict
- the norms or typical behavior patterns of those in the client's environment
- areas where change can most likely occur

IV. Data Concerning the Consultation Relationship

- feelings experienced by the consultant and client of one another
- progress being made
- the interpersonal nature of the relationship (friendly, hostile, dependent, etc.)

Examples of the Data Collection Process

1) Consultant Asks a Direct Question which is Intended to Surface Information Concerning the Client, the Client's Environment, the Problem or the Interpersonal Nature of the Consultation Relationship

e.g. Would you describe your experience and training so that we can begin to see what resources we have together here?

e.g. What kinds of skills would you need in order for you to do a better job?

e.g. Perhaps you could tell me what its like working in your organization.

2) Survey Instruments

A consultant may use questionnaires and opinion surveys as a method of gathering data.

3) Individual and Group Interviews

4) Direct Observation

The consultant can gather valuable data by examining the ongoing actions of the client.

5) Fantasy or Imagination

Asking the client to share a future fantasy may be a

source of valuable information for the consultant.

e.g. What do you imagine would happen if you told Mr. Green about how you feel?

6) Drawing

A consultant may ask a client to make a drawing about some aspects of his life or something about the environment he works in. The consultant may then ask the client to talk about the meaning of the drawing.

e.g. Draw a picture of how it feels to be in your organization.

7) Physical Representation: Sculpting

Members of a group are asked to arrange themselves physically in the room according to some group characteristic they are troubled about.

e.g. Those who feel very involved with the group sit in the center of the room, those who are somewhat interested and involved sit somewhere between the center group and the walls. Those who feel uninvolved and disinterested, sit by the walls.

Once the members have assumed these positions the consultant encourages the members to share their feelings about the way they placed themselves.

The Problem Solving Process in Consultation

The problem solving process involves those activities of both consultant and client which help the client to solve or get closer to solving the presenting problem or the problem as it is subsequently defined. The "presenting" problem may be defined as that problem which the client initially perceives as the basis of his trouble and which requires a solution. However, it is often the case that what the client perceives as the problem may really be a symptom or some more basic, underlying issue. The problem solving process should be seen as dynamic, the nature of the problems changing by new information, new emerging needs of the client, the client's feelings, insights and skill development and by changes in the client's environment.

The consultant may help the client move through a systematic problem solving sequence such as: problem definition—→ developing solution proposals—→ evaluating proposals—→ action planning—→ action steps—→ evaluation of action taken.

It should be stressed that this is not a rigid sequence of steps. As mentioned previously, the problem itself may change many times during the course of consultation depending on the client's most emerging needs. The model is useful in considering important aspects of the problem and avoiding premature action steps.

Examples of the Problem Solving Process

(1) Consultant Helps the Client to Formulate the Problem

Problem

e.g. Let's look at these specific incidents you've been talking about and see if there is a general, underlying problem common to all of these incidents.

e.g. It may be helpful to try and distinguish between

symptoms of the problem on the underlying factors which may be causing the problem.

(2) Consultant Encourages the Client to Formulate Problem and Set Goals Before Considering Solution Proposals

e.g. It may be helpful to define the problem more clearly before considering solution proposals.

e.g. Now that you've identified the problem it may be helpful to set down some specific goals you want to reach.

(3) Encouraging the Client to Explore as Many Alternative Ideas as Possible

e.g. We've had three solution proposals now, are there any other ideas?

(4) Encouraging the Client to Delay Evaluation of Proposals Until as Many as Possible have been Generated

e.g. That is a possible consequence of such a proposal but before evaluating the proposals I think that it's important to make sure all the possible solution proposals have come out.

(5) Consultant Encourages Client to Evaluate, Test or Forecast the Consequences of Solution Proposals

e.g. I think it is important now to consider the advantages and disadvantages of each solution.

(6) Encouraging the Client to Develop an Action Plan

e.g. While you've talked about what you want, you haven't developed a plan to go about it.

(7) Encouraging the Client to Develop Criteria to Measure Progress Toward Desired Goals

e.g. I think an important part of planning is to include some means by which you can determine later whether or not any action you take is following your plan and helping you to achieve your goals.

(8) Consultant Encourages the Client to Evaluate the Effects of His Action Steps

e.g. Is this what you wanted, are you achieving the goals you established earlier?

The Educative Process in Consultation

The educative process in consultation involves an interaction between consultant and client in which the consultant facilitates the client's learning of skills and knowledge that will help him to solve not only his present problem but similar problems in the future. There are two important areas where clients often lack knowledge and skills. These are the client's problem solving abilities and the client's interpersonal skills.

Examples of the Educative Process

(1) Consultant Gives the Client Feedback

A. Interpersonal Feedback: The consultant may reflect on the client's interpersonal style or encourage others to do so in an attempt to have the client explore and learn about himself.

e.g. I've noticed that you've cut Bill off three times so far. Have you been aware of that?

B. Group Process Feedback: Process Observation: This refers to feedback that is not intended for one person in particular but for all members of a group to consider.

e.g. I noticed that when the group was faced with a decision that the topic would change and no decision would be made.

(2) Consultant Encourages the Client to Observe Ongoing Processes

A. Consultant Encourages Client Self-Exploration

e.g. How would you describe the way you've been relating to me in the last few minutes?

B. Consultant Encourages Client to Observe Group Processes

e.g. One thing you may find helpful is to periodically stop work on the task and to consider whether or not you are using the most effective method of approaching it.

(3) Consultant Makes Factual or Theoretical Statements
Intended to Increase the Client's Knowledge

This type of intervention may place the consultant in the traditional role of a lecturer or teacher.

e.g. Many studies have shown that a consultant who has the ability to empathize with his client is seen by the client as more helpful than a consultant who has a lesser ability to empathize. There are several skills which seem to help in really understanding a client. Some of these include the skills of paraphrasing, perception check, responding to the feelings of the client . . .

(4) Consultant Provides Opportunities for the Client to
Develop His Skills Through an Experiential Learning
Process

The consultant may provide opportunities for the client to be involved in T-groups, simulations, role playing etc. The intent here is to provide the kind of environment where, if the client wishes, he may learn more about himself and experiment with new behavior or practice new skills.

e.g. I would like you to form a trio, A, B, and C. A is to describe some present problem he is working on. B, you are to try and paraphrase A until A is satisfied that you understand him. C, you are to observe the interaction between A and B and give them your observations when they have completed.

The consultant here has set up an experiential learning environment designed to facilitate the client's learning of an interpersonal skill.

Developing Rapport With The Client

Consultation involves an interpersonal relationship that requires good rapport between the consultant and client. This rapport is affected by the consultant's behavior and the client's perception of how helpful the consultant is. As one consultant put it "help is never really help unless and until it is perceived as 'helpful' by the person on the receiving end - regardless of the good intentions of the helper or consultant."

Help tends to be perceived as "help" when the consultant conveys to the client a sense of empathy and genuineness. Empathy refers to the helper's ability to put himself in the client's position, to understand and accept him and to communicate this sense of understanding and acceptance to him. While empathic abilities help the consultant to understand the client, genuineness helps the client to understand the consultant as a person. Genuineness refers to the helper's ability to be open about his feelings and to behave in ways consistent with his own values, beliefs and feelings.

Examples of Behavior Which Tend to Convey A Sense of Empathy and Genuineness to the Client

(1) Responding to Feelings

Responding to a client's feeling level rather than the content or subject matter of what the client is saying tends to increase the sense of empathy.

e.g. Client: I just can't seem to get along with John. He always expects too much from me - I just get tied up in knots. I just don't know what to do.

Consultant: It's frustrating not being able to be yourself (response to feelings).

As opposed to: How long has this been going on?
(response to content).

Wallen (1968) describes four skills which help to improve interpersonal communication and increase empathy. He states that a person improves communication as he increases the understanding he and another share. A shared understanding means that each person has accurate information about the other's (a) ideas and suggestions, and (b) feelings - his intentions, emotional responses, assumptions. The four communication skills summarized below can be helpful...

- . . . If you want to encourage a spirit of joint inquiry ("Let us try to understand how each of us views this") rather than competing, blaming and fault-finding ("You're wrong: I'm right").
- if you want to increase the amount of information held in common.
- . . . if you want to reduce the depreciation and hostility transmitted.
- . . . if you want to lessen the likelihood of injury and hurt feelings.

Reception Skills: (acknowledging by checking) These responses (a) let the speaker know you have heard him (acknowledging) and (b) that you wish to compare your understanding against his for accuracy (checking).

- (1) Paraphrase: (Concern with ideas and suggestions)
Letting the other know what meaning his statement evokes in you.

"Do you mean. . . (statement). . .?"

"Is this. . .(statement). . .an accurate understanding of your idea?"

"Would this be an example of what you mean? Giving a specific example."

- (2) Perception Check: (Concern with the person, his feelings). Describing what you perceive the other feels - tentatively and without evaluating him.

"I get the impression you'd rather not talk about this. Is that so?"

"You were disappointed that they did not ask you?"

"You look like you felt hurt by my comment. Did you?"

Transmission Skills: These responses aim at transmitting information free of attack, accusation, depreciation, and other relation-straining attributes.

- (3) Behavior Description: Describing specific, observable actions of others rather than stating inferences, accusations, or generalizations about their motives, attitudes or personality traits.

"You bumped my cup," rather than "You never watch where you're going."

"Jim and Bill have done most of the talking and the rest of us have said very little," rather than "Jim and Bill just have to hog the spotlight."

- (4) Description of Feelings: Identifying your feelings by (1) name, (2) simile, (3) action urge and conveying it as information about your inner state and not as an accusation or coercive demand against the other.

"I felt hurt when you ignored my comment," rather than "You're rude!"

"I feel hurt and embarrassed," rather than "You just put me down!"

"I'm disappointed that you forgot," rather than "you don't care about me!"

"I'm too angry to listen to any more now," rather than "get the hell out!"

Behaviors that Hinder Empathy and Genuineness

Wallen (1968) considers the following type of responses to decrease the possibility of a client perceiving the helper as empathic and genuine.

Changing the subject without explanation: e.g., to avoid the other's feelings.

Explaining the other, interpreting his behavior: "You do that because your mother always. . ." Binds him to past behavior or may be seen as an effort to get him to change.

Advise and persuasion: "What you should do is...!"

Vigorous agreement: Binds him to present position - limits his changing his mind.

Expectations: Binds to past - "You never did this before. What's wrong?" Or cues him to future action - "I'm sure you will. . ." "I know you can do it."

Denying his feelings: "You don't really mean that!" "You have no reason to feel that way!" Generalizations like "Everybody has problems like that."

Disapproval on personal grounds: Blaming or censuring the other for thinking, acting, and feeling in ways you do not want him to. Imputing unworthy motives to him.

Commands, orders: Telling the other what to do.

Includes, "Tell me what to do."

Emotional obligations: Control through arousing feelings of shame and inferiority. "How can you do this to me when I have done so much for you." Wallen, 1968.

APPENDIX D

Characteristics and Models of Consultation

This paper begins by outlining the basic characteristics of the consultation relationship. These characteristics are followed by a description of the most clearly defined models or approaches to consultation. Consultants using different models of consultation influence the client and the problem in different ways. The possible impact that each model has on the client and the problem is discussed.

Some Characteristics of the Consultation Relationship

Consultation is a type of helping relationship that is used to help with a wide spectrum of individual, group, organizational and community problems. Consultation is used in a number of fields such as education, public health, psychiatry, social work, organizational development, nursing and community development. The consultation relationship usually includes some of the following characteristics (R. Lippitt, 1959; Klein, 1965).

- 1) It is a voluntary relationship.
- 2) It is a relationship between a professional helper (consultant) and a help-needing system (client).
- 3) The consultant attempts to give help to the client in solving some current or potential problem.
- 4) The relationship is seen as temporary by both parties.
- 5) The consultant is an "outsider", i.e., is not part of any hierarchical power system in which the client is located. (Some writers argue that a consultant may be "internal" - part of the hierarchical system).
- 6) Consultation may take place on a one-to-one basis or the consultant may be a team and the client a group, agency or some other social unit. The consultant's attention may be directed towards any one of the following levels.
 - A. The individual: e.g., the learner, the teacher, the administrator.
 - B. The face-to-face group: e.g., the classroom group, the family or an informal group.

- C. The institutional system: e.g., the school as a social system.
 - D. The inter-system: e.g., the interplay between the school and other agencies and institutions in the community.
- 7) The client has the discretion to use or not to use any information, knowledge or skills acquired during the consultation. The consultant has no responsibility for, or authority over the actions of the client.
 - 8) Consultation takes place in a work centered, problem-solving situation. Some writers state that one of the main differences between counselling and consultation is that the former focuses on the client's "persons" or "self" whereas the latter is on a problem solving task.

Models or Approaches to Consultation

A description of three approaches to consultation will be useful in illustrating the choices a consultant has and considering the impact or influence each approach has on the client and his problem. The approaches described are called the expert consultant, the resource consultant and the process consultant (Ferneau, 1954).

Each model will be described in terms of its appropriateness in a given situation and in terms of its influence on:

- 1) the client's ability to solve future problems
- 2) the client's involvement in the consultation
- 3) the client's acceptance and commitment to action plans
- 4) duration of the consultation
- 5) the skills required of the consultant

1. The Expert Consultant

The expert consultant is one who concentrates his efforts upon arriving at the right answer for the specific problem. He analyzes the problem himself and makes recommendations for its solution. The expert consultant helps the client by using his specialized skill and knowledge to solve a problem which the client has neither the time nor ability to solve. The consultants main goal is to solve the specific problem in the least amount of time.

2. The Resource Consultant

The resource consultant concentrates his efforts on providing the client with relevant information. The

consultant may provide the client with relevant information about the problem, about similar situations faced by others, and factors in the situation which the client may be unaware. The resource consultant's main goal is to help the client make informed choices by providing him the information he needs.

3. The Process Consultant

The process consultant concentrates his efforts on helping the client to learn the skills and processes involved in solving problems. The consultant's goal is to foster the learning and skill development of the client such that the client is able to solve his own present problem and similar problems which may occur in the future.

4. Influences of the Consultation Models

(1) The Clients Ability to Solve Future Problems

Neither the expert consultant nor the resource consultant attempts to improve the client's problem solving ability. The client is dependent on both the expert and resource consultants for the solution to future problems. The process consultant however, encourages the client to improve his learning and skills to enable him to solve not only the present problem, but similar problems which may occur in the future. The process consultant, unlike the expert and resource consultants, encourages the client to become independent.

(2) The Clients Involvement in the Consultation

The expert consultant requires little, if any, involvement from the client. It is the consultant himself who analyzes the problem and makes recommendations, and all that remains is for the client to carry out the recommendations made.

The resource consultant requires more involvement from the consultant since the resource model is based on a flow of information between consultant and client. Unlike the expert orientation, the client is responsible for planning a course of action based on the information provided by the consultant.

The process consultant requires the most client involvement. The consultant and client are viewed as working jointly to diagnose the problem and to develop a plan of action. The client is totally involved in the problem solving process in addition to developing his own skills and knowledge.

(3) The Clients Acceptance and Commitment to Action Plans

A criticism of the expert model is that frequently the client does not carry out the recommendations made by the consultant. One may speculate as to the reasons for this: the client was not involved in making the recommendations and does not feel a part of them, the recommendations may be poor or unrealistic or the client may not have the skills necessary to carry out the recommendations.

Both the resource and process consultants leave the responsibility of developing a plan of action with the client. In this respect the client is likely to feel involved and committed to carry out a plan of action. The resource consultant assumes, however, that it is only information that the client needs for him to be able to solve a given problem. This may be accurate. However, if the client has all the needed information and has developed a plan of action but does not have the skills necessary to carry it out, then there will be no follow through on the plan.

The process consultant encourages the client to be totally involved in the problem solving process and as well he encourages the client to develop the skills necessary to implement a plan of action. In this respect, acceptance of a plan of action and commitment to its implementation are increased.

(4) Duration of the Consultation

The process consultant may require more time with the client than either the expert or resource consultants. The process consultant is involved in an educational process with the client. To a lesser extent this is also true of the resource consultant. While the expert and resource consultants focus the client on the specific problem presented, the process consultant, in addition, helps the client to learn about the processes and skills involved in solving problems. This orientation may require more of the consultant's time.

5. The Skills and Knowledge Required of the Consultant

The expert and resource consultants' require considerable knowledge about the nature of the specific problem. The expert consultant must be able to diagnose a problem accurately and develop recommendations which the client will understand and be capable of carrying out. The resource consultant should be able to provide helpful information to the client based on his experience and expertise in his area. The process consultant requires a knowledge of and ability

to teach diagnosing and problem solving skills. As an educator he should be skilled in interpersonal and group processes and be able to create learning situations for the client. The process consultant may not require specific knowledge about the particular problem since his main goal is to encourage the client to learn how to solve the problem himself.

Appropriateness of the Consultation Models

In what situations are the three models described most appropriate? Following are a few ideas in response to this question.

The Expert Model

The expert model may be appropriate in a crisis situation where the client neither desires nor is capable of solving the problem. Crisis consultation occurs frequently in the mental health field where the consultant diagnoses the problem and takes steps to alleviate the crisis situation.

The Resource Model

The resource model may be appropriate when the client has the skills to solve a problem but simply lacks the information needed to design an action plan.

The Process Model

The process model may be most appropriate when the client's difficulty centers around his lack of knowledge and skills in diagnosing and solving problems. The process consultant is most effective when the client wants to take a more independent stance on his problem by developing his problem solving skills.

APPENDIX E

Approaches to Consultation and Their Effects

The consultant's approach to the client's problem and the client's expectations of the consultant are important factors influencing the consultation.

The consultant's focus or orientation may be:

- (1) On the specific problem presented. The consultant analyzes the problem and makes recommendations for its solution. This is the "expert" orientation.
- (2) On providing information relevant to the problem. The consultant provides the information the client lacks. This is the "resource" orientation.
- (3) Helping the client learn about the processes and skills involved in problem solving. The consultant helps the client develop his problem solving abilities. This is the "process" orientation.

Another factor influencing the consultation is the client's expectations of the consultant.

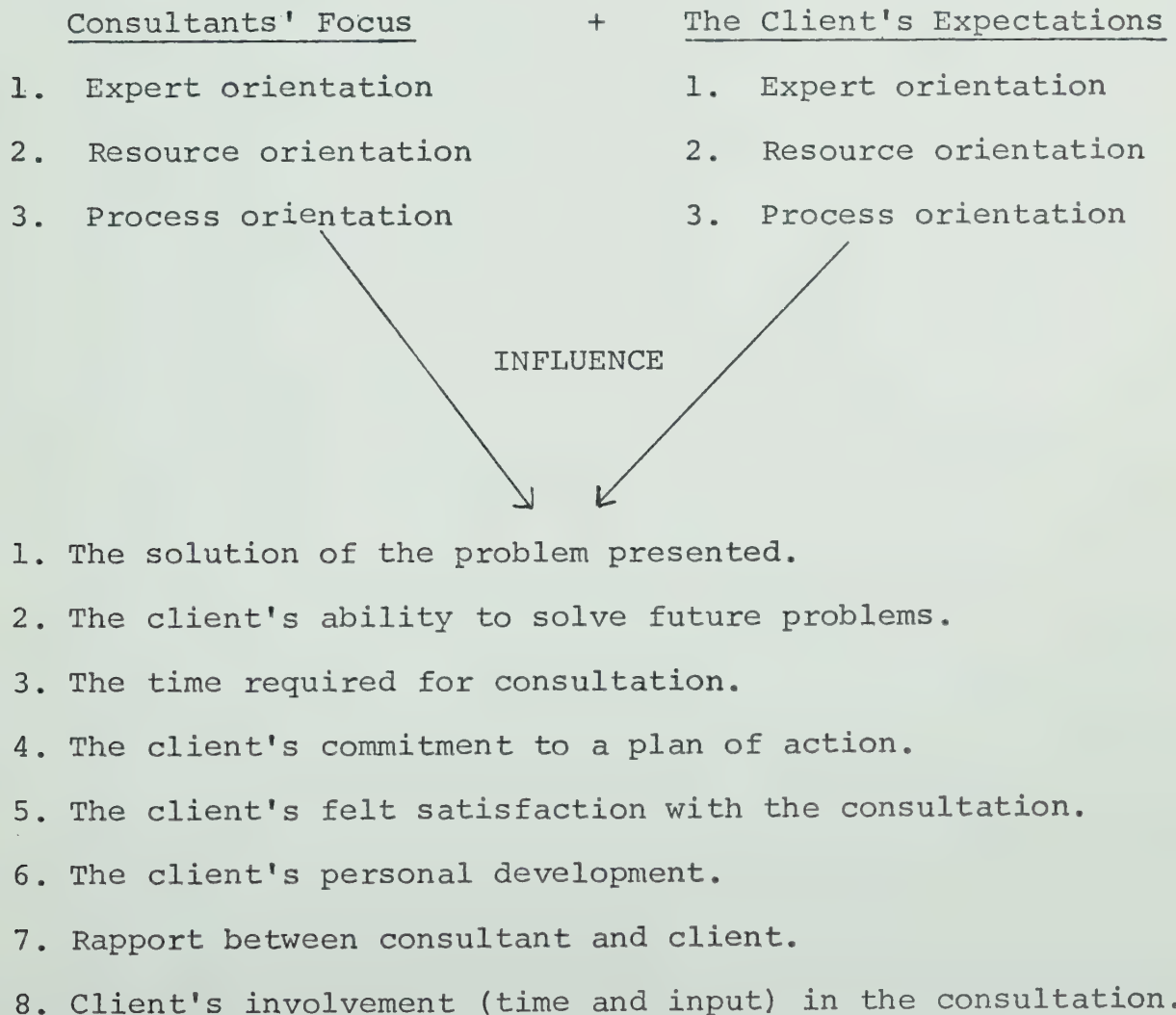
If the client is expecting the consultant to focus on the specific problem, to analyze it for him and to present him with recommendations for its solution, while the consultant sees his role as providing the client only information relevant to the problem or only developing problem solving skills, then conflict will undoubtedly arise since both have different expectations as to how the other should behave. If the client expects the consultant to help him develop his problem solving skills and this is the consultant's orientation, then there will be no role conflict.

In summary, the consultant's focus (expert, resource and process orientations) and the client's expectations of how the consultant should work are important factors influencing the consultation.

The consultant's choice of focus and the client's

expectations may be considered in terms of how they influence

- (1) The solution of the problem presented.
- (2) The client's abilities to solve similar problems in the future or client dependency on the consultant.
- (3) The time required for consultation.
- (4) The client's acceptance of a solution plan and his commitment to its implementation.
- (5) The client's felt satisfaction with the consultation.
- (6) The client's personal development.
- (7) Rapport between consultant and client.
- (8) Client's involvement (time and input) in the consultation.



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